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Conference of the Parties

Report of the Conference of the Parties on its twentieth session, held in Lima from 1 to 14 December 2014

Addendum

Part two: Action taken by the Conference of the Parties at its twentieth session

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Decision 2/CP.20

Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

The Conference of the Parties,

Reaffirming the provisions contained in decisions 3/CP.18 and 2/CP.19,

Appreciating the work of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts to develop its initial two-year workplan,

Taking note of the report of the Executive Committee,[1]

1. *Approves* the initial two-year workplan of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts;[2]

2. *Notes* the useful inputs provided by Parties, observers and other organizations as part of the transparent, inclusive and participatory process of developing the initial two-year workplan of the Executive Committee;

3. *Reaffirms* the establishment of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts, under the guidance of, and accountable to, the Conference of the Parties, to guide the implementation of the functions of the Warsaw International Mechanism referred to in decision 2/CP.19, paragraph 5;

4. *Also reaffirms* the request to the Executive Committee to report annually to the Conference of the Parties through the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation and make recommendations, as appropriate;

5. *Decides* that the Executive Committee shall be composed of the following, taking into account the goal of gender balance pursuant to decision 23/CP.18:

(a) Ten members from Parties included in Annex I to the Convention (Annex I Parties);

(b) Ten members from Parties not included in Annex I to the Convention (non-Annex I Parties), comprising two members each from the African, Asia-Pacific, and the Latin American and Caribbean States, one member from small island developing States, one member from least developed country Parties, and two additional members from non-Annex I Parties;

6. *Encourages* Parties to nominate to the Executive Committee experts with the diversity of experience and knowledge relevant to loss and damage associated with climate change impacts;

7. *Decides* that members shall serve for a term of two years and shall be eligible to serve a maximum of two consecutive terms of office, and that the following rules shall apply:

(a) Half of the members shall be elected initially for a term of three years and half of the members shall be elected for a term of two years;

[1] FCCC/SB/2014/4

[2] FCCC/SB/2014/4, annex II

(b) Thereafter, the Conference of the Parties shall elect members for a term of two years;

(c) The members shall remain in office until their successors have been elected;

8. *Also decides* that the Executive Committee may establish expert groups, subcommittees, panels, thematic advisory groups or task-focused ad hoc working groups to help execute the work of the Executive Committee in guiding the implementation of the Warsaw International Mechanism, as appropriate, in an advisory role, and that report to the Executive Committee;

9. *Further decides* that decisions of the Executive Committee shall be taken by consensus;

10. *Decides* that the Executive Committee shall elect annually Co-Chairs from among its members to serve for a term of one year, with one being a member from an Annex I Party and the other being a member from a non-Annex I Party;

11. *Also decides* on other related provisions including:

(a) If one or both Co-Chairs are absent from a particular meeting, any other member designated by the Executive Committee shall temporarily serve as the Co-Chair or Chair of that meeting;

(b) If a Co-Chair is unable to complete the term of office, the Executive Committee shall elect a replacement to complete that term of office;

12. *Further decides* that the Executive Committee shall meet at least twice per year, while retaining its flexibility to adjust the number of meetings, as appropriate;

13. *Decides* that the Executive Committee shall convene its first meeting as soon as practical following the election of its members commencing at the twentieth session of the Conference of the Parties but no later than March 2015, and at its first meeting shall adopt its rules of procedure and begin implementing its workplan;

14. *Also decides* that the meetings of the Executive Committee shall be open to attendance by admitted observer organizations, except where otherwise decided by the Executive Committee, with a view to encouraging a balanced regional representation of observers;

15. *Further decides* that the decisions and outputs of the Executive Committee shall be made publicly available on the UNFCCC website unless decided otherwise by the Executive Committee;

16. *Decides* that English shall be the working language of the Executive Committee;

17. *Also decides* that the secretariat shall support and facilitate the work of the Executive Committee, subject to the availability of resources.

10th plenary meeting
13 December 2014

Decision 3/CP.20

National adaptation plans

The Conference of the Parties,

Recalling decisions 1/CP.16, 5/CP.17, 12/CP.18 and 18/CP.19,

1. *Decides* that a revision of the initial guidelines for the formulation of national adaptation plans is not necessary at this time;

2. *Recognizes* that the process to formulate and implement national adaptation plans is fundamental for building adaptive capacity and reducing vulnerability to the impacts of climate change;

3. *Reiterates* that the national adaptation plan process is a country-driven, gender-sensitive, participatory and fully transparent approach, taking into consideration vulnerable groups, communities and ecosystems, and should be based on and guided by the best available science and, as appropriate, traditional and indigenous knowledge, with a view to integrating adaptation into relevant social, economic and environmental policies and actions, where appropriate;

4. *Recognizes* the continuous, iterative and long-term nature of the national adaptation plan process, and that the national adaptation plans can serve as an important tool for ensuring a common understanding and for communicating progress made towards both reducing vulnerability and integrating climate change adaptation into national and development planning;

5. *Acknowledges* the importance of communicating, in a flexible manner, what the process to formulate and implement national adaptation plans involves, as well as the outputs and outcomes of that process;

6. *Decides* that there is a need to enhance the reporting on the process to formulate and implement the national adaptation plans;

7. *Notes* that there is a need to strengthen the existing reporting related to the process to formulate and implement national adaptation plans under the Convention;

8. *Decides* to explore options for enhancing reporting related to the process to formulate and implement national adaptation plans as a part of the workshop referred to in document FCCC/SBI/2014/8, paragraph 106, and the review to monitor and evaluate progress made on the national adaptation plan process referred to in decision 5/CP.17, paragraph 37;

9. *Invites* least developed country Parties and other interested developing country Parties that are not least developed countries that may wish to do so to forward outputs, including national adaptation plan documents, and outcomes related to the process to formulate and implement national adaptation plans, to the NAP Central;

10. *Decides* to further consider how to enhance reporting related to the process to formulate and implement national adaptation plans at the forty-second session of the Subsidiary Body for Implementation (June 2015);

11. *Requests* the Adaptation Committee and the Least Developed Countries Expert Group, in collaboration with the Green Climate Fund, as an operating entity of the Financial Mechanism, to consider how to best support developing country Parties in accessing funding from the Green Climate Fund for the process to formulate and implement

national adaptation plans, and to report thereon to the Subsidiary Body for Implementation at its forty-second session.

10th plenary meeting
12 December 2014

Decision 4/CP.20

Report of the Adaptation Committee

The Conference of the Parties,

1. *Welcomes* the report of the Adaptation Committee;[1]

2. *Also welcomes* the progress made by the Adaptation Committee in the implementation of its three-year workplan, including:

(a) Promoting coherence in adaptation under the Convention, in particular in collaboration with the Least Developed Countries Expert Group, the Technology Executive Committee and the Standing Committee on Finance and in the context of the Nairobi work programme on impacts, vulnerability and adaptation to climate change;

(b) Engaging relevant institutions, organizations, frameworks, networks and centres;

(c) Conducting a joint meeting with the Nairobi work programme on available tools for the use of indigenous and traditional knowledge and practices for adaptation, needs of local and indigenous communities, and the application of gender-sensitive approaches and tools for adaptation;[2]

(d) Conducting a special in-session event on promoting synergy and strengthening engagement with national, regional and international organizations, centres and networks;[3]

(e) Conducting an in-session meeting of the Adaptation Committee organized in collaboration with Intergovernmental Panel on Climate Change Working Group II;[4]

(f) Publishing its 2014 thematic report on institutional arrangements for national adaptation planning and implementation;[5]

3. *Notes with appreciation* the continued work of the Adaptation Committee on providing technical support and guidance to the Parties on adaptation action, including through the work carried out by the task force on national adaptation plans of the Committee;

4. *Requests* Parties, operating entities of the Financial Mechanism and other relevant entities working on adaptation to consider the recommendations contained in chapter V of the report of the Adaptation Committee, as included in the annex;

5. *Reiterates* its encouragement made in decision 2/CP.17, paragraph 103, for Parties to nominate experts to the Adaptation Committee with a diversity of experience and knowledge relevant to adaptation to climate change, while also taking into account the need to achieve gender balance in accordance with decision 36/CP.7;

6. *Welcomes* the initiation of consideration by the Adaptation Committee of its next workplan, starting in 2016.

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[1] FCCC/SB/2014/2.

[2] See <unfccc.int/8020>.

[3] See <unfccc.int/8246>.

[4] The report on the meeting is contained in Adaptation Committee document AC/2014/24, available at <unfccc.int/8467>.

[5] Available at <unfccc.int/6997.php#AC>.

Annex

Recommendations for the Conference of the Parties

1. The Adaptation Committee (AC) agreed to include the following recommendations in its report[6] for consideration by the Conference of the Parties (COP) at its twentieth session.

2. The AC recommends that the COP invite Parties, operating entities of the Financial Mechanism and relevant entities working on adaptation to take into account the following recommendations, which are based on the outcomes of the meeting of the task force on national adaptation plans (NAPs) referred to in paragraphs 38 and 39 of the report of the AC referred to in paragraph 1 above:

(a) Recognizing the importance of raising awareness and buy-in for the NAP process by all stakeholders, in order to:

(i) Generate interest in, demand for and leadership of the NAP process at the national level;

(ii) Make available support for the NAP process better known;

(b) Improving coordination, collaboration and coherence among:

(i) Bilateral and multilateral agencies and institutions, including the operating entities of the Financial Mechanism;

(ii) Various national ministries;

(iii) Parties and regions, with a view to:

a. Enhancing the accessibility of NAP support;

b. Further understanding effective pathways to achieving the objectives of the NAP process, on the basis of experience;

c. Fostering coherence in the provision of support, including by better matching needs with support, involving more financial institutions in the NAP process and helping countries to prepare for accessing funding, including from the Green Climate Fund (GCF);

(c) Enhancing learning as stakeholders increasingly engage in the NAP process, particularly around aspects such as the role of institutional arrangements and monitoring and evaluation.

3. In supporting the monitoring and evaluation of adaptation, the AC recommends that the COP invite Parties, operating entities of the Financial Mechanism and relevant entities working on adaptation to take into account the following recommendations:

(a) Monitoring and evaluation frameworks need to be appropriate, relevant to needs and tailored to country circumstances. A common set of global indicators is not useful, owing to the context-specific nature of adaptation;

(b) National-level assessments can play a different role in measuring adaptive capacity from subnational or project-based assessments. National-level assessments could, for example, measure the degree of coordination and integration of adaptation in national priorities;

[6] FCCC/SB/2014/2.

(c) A positive learning environment, which encourages formal and informal learning, including peer-to-peer learning, and which encourages learning from negative as well as positive experiences, is important;

(d) Planning and allocation of resources, both technical and financial, are key for effective monitoring and evaluation systems.

4. In the context of the monitoring and evaluation of adaptation, the AC also recommends that the COP invite the Board of the GCF, with respect to its Results Management Framework, to consider:

(a) Keeping indicators simple;

(b) Designing indicators that are qualitative as well as quantitative;

(c) Designing indicators in such a way as to capture the progress that countries are able to make in integrating adaptation into their development and sectoral planning, policies and actions;

(d) Giving countries sufficient flexibility to define their indicators in line with their national and local planning, strategies and priorities.

5. Furthermore, the AC agreed to forward the following recommendations resulting from the workshop on best practices and needs of local and indigenous communities referred to in paragraph 45 of its report referred to in paragraph 1 above for consideration by the COP. The COP may wish to:

(a) Invite Parties to underline the importance of indigenous and traditional knowledge and practices, in a manner commensurate with modern science, for the effective planning and implementation of adaptation, including by encouraging the integration of indigenous, traditional and local knowledge into the NAP process;

(b) Encourage the Adaptation Fund, the Global Environment Facility (GEF) and the GCF to enhance their consideration of local, indigenous and traditional knowledge and practices and their integration into adaptation planning and practices, as well as procedures for monitoring, evaluation and reporting.

6. Regarding the operating entities of the Financial Mechanism, the AC recommends the following actions for consideration by the COP:

(a) Inviting the Board of the GCF to consider the significant work undertaken under the Cancun Adaptation Framework and on the NAP process as it continues to provide the governance of the Fund;

(b) Inviting the Board of the GCF to engage with institutions that have started initiatives on countries' readiness to access GCF funding and exploring how more countries can benefit from such initiatives;

(c) Inviting the GEF, in supporting the NAP process and when implementing its new programming strategy on adaptation for the Least Developed Countries Fund and the Special Climate Change Fund for the period 2014–2018, to consider the findings arising from the meeting of the NAP task force referred to in paragraph 84 and the initial conclusions of the AC on the monitoring and evaluation of adaptation referred to in paragraph 85 of the report of the AC referred to in paragraph 1 above.

10th plenary meeting
12 December 2014

Decision 5/CP.20

Long-term climate finance

The Conference of the Parties,

Recalling Articles 4 and 11 of the Convention,

Also recalling decision 1/CP.16, paragraphs 2, 4 and 97–101, as well as decisions 1/CP.17, 2/CP.17, paragraphs 126–132, and decisions 4/CP.18 and 3/CP.19,

1. *Welcomes with appreciation* the pledges to the Green Climate Fund and to the sixth replenishment of the Global Environment Facility, and contributions to the Least Developed Countries Fund, the Special Climate Change Fund, and the Adaptation Fund;

2. *Takes note* of the in-session workshop on long-term climate finance held in 2014 and the summary report prepared by the secretariat thereon;[1]

3. *Welcomes* the biennial submissions received to date from developed country Parties on updated strategies and approaches for scaling up climate finance from 2014 to 2020 as contained in decision 3/CP.19, paragraph 10, and urges those developed country Parties that have not yet done so to do so;

4. *Also welcomes* the first biennial high-level ministerial dialogue on climate finance convened in accordance with decision 3/CP.19, and looks forward to the summary of the presidency of the Conference of the Parties on the deliberations of this dialogue;

5. *Notes with appreciation* the 2014 Biennial Assessment and Overview of Climate Finance Flows Report;[2]

6. *Takes note* of decision 11/CP.20 on methodologies for the reporting of financial information by Parties included in Annex I to the Convention, and decision 6/CP.20 on the report of the Standing Committee on Finance;

7. *Calls* on developed country Parties to channel a substantial share of public climate funds to adaptation activities;

8. *Requests* Parties to continue to enhance their enabling environments and policy frameworks to facilitate the mobilization and effective deployment of climate finance, in accordance with decision 3/CP.19;

9. *Recognizes* that developed country Parties commit, in the context of meaningful mitigation actions and transparency on implementation, to a goal of mobilizing jointly USD 100 billion per year by 2020 to address the needs of developing countries;

10. *Requests* developed country Parties, in preparing their next round of updated biennial submissions on strategies and approaches for scaling up climate finance for the period 2016–2020, to enhance the available quantitative and qualitative elements of a pathway, placing greater emphasis on transparency and predictability of financial flows, as per decision 3/CP.19, paragraph 10;

[1] FCCC/CP/2014/3.

[2] Available at <http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/2014_biennial_assessment_and_overview_of_climate_finance_flows_report_web.pdf>.

11. *Also requests* the secretariat to prepare a compilation and synthesis of the biennial submissions on the strategies and approaches, to inform the in-session workshops;

12. *Further requests* the secretariat to organize annual in-session workshops through to 2020 and to prepare a summary report of the workshops for annual consideration by the Conference of the Parties and the high-level ministerial dialogue on climate finance;

13. *Decides* that the in-session workshops referred in paragraph 12 above will, in 2015 and 2016, focus on the issues of adaptation finance, needs for support to developing country Parties and cooperation on enhanced enabling environments and support for readiness activities in accordance with decision 3/CP.19, paragraph 12;

14. *Invites* the thematic bodies under the Convention, in particular the Standing Committee on Finance, the Adaptation Committee and the Technology Executive Committee, where appropriate, to consider the long-term finance issues referred in decision 3/CP.19, paragraph 12, when implementing their 2015–2016 workplans, as an input to the in-session workshops referred to in paragraph 12 above.

10th plenary meeting
13 December 2014

Decision 6/CP.20

Report of the Standing Committee on Finance

The Conference of the Parties,

Recalling Articles 4 and 11 of the Convention,

Also recalling decisions 1/CP.16, paragraph 112, and 2/CP.17, paragraphs 120 and 121, as well as decisions 5/CP.18 and 7/CP.19,

1. *Welcomes*, and *notes with appreciation*, the report of the Standing Committee on Finance;[1]

2. *Also welcomes* the transparency and openness with which the Standing Committee on Finance conducts its work;

3. *Endorses* the workplan of the Standing Committee on Finance for 2015;[2]

4. *Expresses its appreciation* for the financial contributions provided by the Governments of Belgium, Japan, Norway and Switzerland and the European Union in order to support the implementation of the work programme of the Standing Committee on Finance, and *recalls* decision 2/CP.17, paragraph 124;

5. *Invites* the Standing Committee on Finance to further strengthen its engagement with all relevant stakeholders and bodies of the Convention;

6. *Welcomes* the progress achieved by the Standing Committee on Finance through the successful completion of the 2014 biennial assessment and overview of climate finance flows covering the period 2010–2012;

7. *Notes with appreciation* the 2014 Biennial Assessment and Overview of Climate Finance Flows Report;[3]

8. *Invites* the relevant bodies under the Convention to take note of the summary and recommendations by the Standing Committee on Finance on the 2014 biennial assessment and overview of climate finance flows;[4]

9. *Requests* relevant technical bodies to consider the recommendations contained in the report on the 2014 biennial assessment and overview of climate finance flows as part of their ongoing deliberations related to climate finance;

10. *Also requests* the Standing Committee on Finance, as part of its ongoing work on measurement, reporting and verification of support, and with a view to recommending improvements to the methodologies for reporting financial information, to consider the findings and recommendations of the biennial assessment in its annual report to the Conference of the Parties for its consideration at its twenty-first session (November–December 2015);

11. *Further requests* the Standing Committee on Finance, in the context of its ongoing work, including the preparation of the biennial assessment and overview of climate finance

[1] FCCC/CP/2014/5.

[2] FCCC/CP/2014/5, annex VIII.

[3] <http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/2014_biennial_assessment_and_overview_of_climate_finance_flows_report_web.pdf>.

[4] FCCC/CP/2014/5, annex II.

flows, to further explore how it can enhance its work on the measurement, reporting and verification of support, based on the best available information on the mobilization of various resources, including private and alternative resources, through public interventions;

12. *Requests* the Standing Committee on Finance to include, in its report to the Conference of the Parties at its twenty-first session, information on progress made in the implementation of its 2015 workplan, taking into account paragraphs 4–7 of decision 11/CP.20 on methodologies for the reporting of financial information by Parties included in Annex I to the Convention;

13. *Welcomes* the 2014 Standing Committee on Finance forum on the mobilization of adaptation finance;[4]

14. *Takes note* of the report of the 2014 Standing Committee on Finance forum;[5]

15. *Notes with appreciation* the progress of the work by the Standing Committee on Finance on the issue of financing for forests, taking into account different policy approaches;[6]

16. *Looks forward* to the third forum of the Standing Committee on Finance, taking place in 2015, which will focus on issues related to finance for forests;[7]

17. *Encourages* the Standing Committee on Finance to continue to engage with all relevant actors working on forests in the preparation of the forum, with a view to ensuring broad participation;

18. *Invites* the Standing Committee on Finance to consider, in the context of its forum on issues related to finance for forests, inter alia, decisions relevant to activities referred to in decision 1/CP.16, paragraph 70, including decisions 1/CP.16, 2/CP.17 and 12/CP.17 as well as decisions 9/CP.19 to 15/CP.19;

19. *Endorses* the recommendations on the provision of guidance to the operating entities provided in paragraph 10 of the report of the Standing Committee on Finance to the Conference of the Parties;[8]

20. *Requests* the Standing Committee on Finance to provide advice on the issue of the frequency of guidance to the Financial Mechanism and to report back to the Conference of the Parties at its twenty-first session;

21. *Welcomes* the inputs of the Technology Executive Committee and the Adaptation Committee to the work of the Standing Committee on Finance for its consideration in preparing elements of draft guidance to the operating entities;

22. *Requests* the Standing Committee on Finance to consider issues related to possible future institutional linkages and relations between the Adaptation Fund and other institutions under the Convention;

23. *Decides*, in accordance with decision 2/CP.17, annex VI, paragraph 10, to conduct the review of the functions of the Standing Committee on Finance no later than at the twenty-third session of the Conference of the Parties (November 2017);

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[4] See <http://unfccc.int/cooperation_and_support/financial_mechanism/standing_committee/items/8138.php>.

[5] <http://unfccc.int/files/cooperation_and_support/financial_mechanism/standing_committee/application/pdf/2nd_scf_forum_for_web.pdf>.

[6] Decision 7/CP.19, paragraph 11.

[7] Decision 9/CP.19, paragraph 20.

[8] FCCC/CP/2014/5.

24. *Requests* the Standing Committee on Finance to consider the guidance provided to the Standing Committee on Finance in other decisions of the Conference of the Parties.

10th plenary meeting
13 December 2014

Decision 7/CP.20

Report of the Green Climate Fund to the Conference of the Parties and guidance to the Green Climate Fund

The Conference of the Parties,

Recalling Articles 4 and 11 of the Convention,

Taking into account decision 11/CP.1,

Recalling decisions 1/CP.16, 3/CP.17, 1/CP.18, 6/CP.18, 7/CP.18, 4/CP.19 and 5/CP.19,

1. *Welcomes* the report of the Green Climate Fund to the Conference of the Parties,[1] in particular the detailed and comprehensive list of responses of the Green Climate Fund Board to guidance received from the Conference of the Parties;[2]

2. *Notes with appreciation* the progress made by the Green Climate Fund, and the information contained thereon in the report of the Green Climate Fund, in particular the decision on the confirmation of the completion of the essential requirements and the commencement of the initial resource mobilization process;

3. *Welcomes with appreciation* the successful and timely initial resource mobilization process of the Green Climate Fund that led to the mobilization of USD 10.2 billion to date by contributing Parties,[3] enabling the Green Climate Fund to start its activities in supporting developing country Parties of the Convention, and making it the largest dedicated climate fund;

4. *Requests* the Green Climate Fund to ensure that the ongoing resource mobilization efforts are commensurate with the ambitions of the Fund, and *calls* for contributions by other developed country Parties,[4] as well as *invites* financial inputs from a variety of other sources, public and private, including alternative sources,[5] throughout the initial resource mobilization process;

5. *Urges* the Green Climate Fund, the Interim Trustee, and contributors to confirm the pledges in the form of fully executed contribution agreements/arrangements, taking note that the commitment authority of the Green Climate Fund will become effective when 50 per cent of the contributions pledged by the November 2014 pledging session are reflected in fully executed contribution agreements/arrangements received by the secretariat no later than 30 April 2015 as provided for in Green Climate Fund Board decision B.08/13, annex XIX, paragraph 1(e);

6. *Notes* Green Climate Fund Board decisions, including the decisions made at its 8th meeting, regarding the formal replenishment process for the Fund;

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[1] As contained in document FCCC/CP/2014/8.

[2] As contained in sections II and III of document FCCC/CP/2014/8.

[3] Australia, Austria, Belgium, Canada, Colombia, Czech Republic, Denmark, Finland, France, Germany, Indonesia, Italy, Japan, Liechtenstein, Luxembourg, Mexico, Monaco, Mongolia, Netherlands, New Zealand, Norway, Panama, Peru, Republic of Korea, Spain, Sweden, Switzerland, United Kingdom of Great Britain and Northern Ireland, and United States of America.

[4] As per decision 4/CP.19, paragraph 13.

[5] As per decision 4/CP.19, paragraph 15.

7. *Welcomes* Green Climate Fund Board decision B.08/07 to start taking decisions on the approval of projects and programmes no later than its 3rd meeting in 2015;

8. *Requests* the Board of the Green Climate Fund to accelerate the operationalization of the adaptation and mitigation windows, and to ensure adequate resources for capacity-building and technology development and transfer, consistent with paragraph 38 of the Governing Instrument;[6]

9. *Also requests* the Board of the Green Climate Fund to accelerate the operationalization of the private sector facility by aiming to ensure that private sector entities and public entities with relevant experience in working with the private sector are accredited in 2015, expediting action to engage local private sector actors in developing country Parties, including small- and medium-sized enterprises in the least developed countries, small island developing States and African States, emphasizing a country-driven approach, expediting action to mobilize resources at scale, and developing a strategic approach to engaging with the private sector;

10. *Further requests* the Board of the Green Climate Fund, in the implementation of its 2015 workplan, to complete its work related to policies and procedures to accept financial inputs from non-public and alternative sources, the investment and risk management frameworks of the Green Climate Fund, the impact analysis on its initial results areas, including options for determining Board level investment portfolios across the structure of the Fund,[7] and the approval process of the Fund, including methodologies for selecting programmes and projects that best achieve the objectives of the Fund;[8]

11. *Requests* the Board of the Green Climate Fund to consider ways by which to further increase the transparency of its proceedings;

12. *Also requests* the Board of the Green Climate Fund to accelerate the implementation of its work programme on readiness and preparatory support, ensuring that adequate resources are provided for its execution, including from the initial resource mobilization process, providing urgent support to developing countries, in particular the least developed countries, small island developing States and African States, led by their national designated authorities or focal points to build institutional capacities in accordance with Green Climate Fund Board decision B.08/11;

13. *Encourages* the timely implementation of the accreditation framework and *requests* the Board of the Green Climate Fund, in its implementation, to pay adequate attention to the priorities and needs of developing country Parties, including the least developed countries, small island developing States and African States, emphasizing the need to provide readiness support to those national and regional entities eligible for fast tracking that request it;

14. *Invites* developing country Parties to expedite the nomination of their national designated authorities and focal points as soon as possible, as well as the selection of their national and subnational implementing entities, to facilitate their engagement with the Green Climate Fund;

15. *Requests* the Board of the Green Climate Fund, when deciding its policies and programme priorities, to consider the information and lessons learned through engagement with other relevant bodies under the Convention, and other relevant international institutions;

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[6] Annex to decision 3/CP.17.

[7] Green Climate Fund Board decision B.08/07, paragraph (l).

[8] Green Climate Fund Board decision B.07/03, paragraph (b).

16. *Also requests* the Green Climate Fund to enhance its collaboration with existing funds under the Convention and other climate relevant funds in order to enhance the complementarity and coherence of policies and programming at the national level;

17. *Further requests* the Board of the Green Climate Fund to further enhance the participation of all stakeholders in accordance with paragraph 71 of the Governing Instrument and other relevant Board decisions;

18. *Requests* the Board of the Green Climate Fund:

(a) To develop a monitoring and accountability framework in accordance with Green Climate Fund Board decision B.08/02;

(b) To consider decisions relevant to REDD-plus,[9] including decisions 1/CP.16, 2/CP.17, 12/CP.17 and decisions 9/CP.19, 10/CP.19, 11/CP.19, 12/CP.19, 13/CP.19, 14/CP.19 and 15/CP.19;

19. *Urges* the Green Climate Fund to ensure that staff selection is open, transparent and based on merit without discrimination, taking into account geographical and gender balance, in accordance with the administrative policies of the Green Climate Fund;[10]

20. *Takes note* of Green Climate Fund Board decision B.08/24 on the institutional linkage between the United Nations and the Green Climate Fund, and *requests* the Board of the Green Climate Fund to continue further deliberations on privileges and immunities, and to report on this matter to the Conference of the Parties at its twenty-first session (November–December 2015);

21. *Urges* developing country Parties to enter into bilateral agreements with the Green Climate Fund based on the template to be approved by the Board of the Green Climate Fund, in order to provide privileges and immunities for the Fund, in accordance with Green Climate Fund Board decision B.08/24, paragraph (b);

22. *Requests* the Board of the Green Climate Fund to report biennially to the Conference of the Parties on the status of existing privileges and immunities with regard to its operational activities, starting at the twenty-first session of the Conference of the Parties;

23. *Also requests* the Board of the Green Climate Fund to make available its annual report in a timely manner and no later than 12 weeks prior to a session of the Conference of the Parties in accordance with decision 6/CP.18, paragraph 15, for due consideration by Parties;

24. *Further requests* the Green Climate Fund to include in its annual report to the Conference of the Parties the recommendations of its independent redress mechanism, if any, and any actions taken by the Board in response to those recommendations;[11]

25. *Requests* the Board of the Green Climate Fund to report to the Conference of the Parties at its twenty-first session on progress made in the implementation of this decision, as well as the elements and provisions of the guidance contained in decisions 3/CP.17, 6/CP.18, 4/CP.19 and 5/CP.19;

26. *Invites* Parties to submit to the secretariat annually, and no later than 10 weeks prior to the subsequent session of the Conference of the Parties, their views and recommendations in writing on the elements to be taken into account in developing guidance to the Green Climate Fund;

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[9] Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.

[10] Green Climate Fund Board decision B.06/03, annex I.

[11] In accordance with the annex to decision 5/CP.19, paragraph 9.

27. *Requests* the secretariat to compile the submissions referred to in paragraph 26 above into a miscellaneous document for consideration by Parties in developing guidance through the Standing Committee on Finance to the Green Climate Fund.

10th plenary meeting
13 December 2014

Decision 8/CP.20

Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility

The Conference of the Parties,

Recalling decisions 12/CP.2, 3/CP.16, 5/CP.16, 7/CP.16, 11/CP.17, 9/CP.18 and 6/CP.19,

Taking note with appreciation of the annual report of the Global Environment Facility to the Conference of the Parties,[1]

Taking note of the recommendations of the Standing Committee on Finance contained in its report to the Conference of the Parties with regard to the provision of draft guidance to the Global Environment Facility,[2]

1. *Welcomes with appreciation* the sixth replenishment of the Global Environment Facility (July 2014 to June 2018), while urging countries that have not fulfilled their pledges for the fifth replenishment of the Global Environment Facility to do so as soon as possible;

2. *Notes* that the amount of funding available for the climate change focal area was reduced in the sixth replenishment period of the Global Environment Facility and that the country allocation of some countries, including some least developed countries, small island developing States, and African States has decreased as a consequence, while highlighting that funding for climate change related interventions at the Global Environment Facility has continued to increase with pilot integrated approaches;

3. *Welcomes* the pledges and contributions made to the Least Developed Countries Fund and the Special Climate Change Fund, and *calls* for continued support to these funds;

4. *Notes* the actions being taken by the Global Environment Facility to expedite its project cycle;

5. *Encourages* the Global Environment Facility to continue to cooperate with all its implementing and project agencies as well as recipient countries in order to improve its project cycle, taking into account the report of the fifth overall performance study of the Global Environment Facility[3] and the recommendations contained therein;

6. *Also encourages* the Global Environment Facility to continue to increase the overall transparency and openness of its operations, particularly with regard to the disclosure of information on the status of the implementation of projects and programmes, the project-level accountability of its implementing agencies and with respect to the timely disbursement of funds, as well as the advice provided to countries on co-financing;

7. *Welcomes* the gender mainstreaming policy of the Global Environment Facility;

8. *Requests* the Global Environment Facility to ensure that gender mainstreaming is implemented both within its portfolio and within its structure;

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[1] FCCC/CP/2014/2 and Add.1.

[2] Annex V to document FCCC/CP/2014/5.

[3] Global Environment Facility Evaluation Office. 2014. *Fifth Overall Performance Study of the GEF: At the Crossroads for higher Impact*.

9. *Takes note* of the policy on co-financing of the Global Environment Facility and the concerns regarding the implementation of this policy as raised by some Parties;

10. *Encourages* the Global Environment Facility to improve the communication of its co-financing policy so that it is better understood and appropriately applied by accredited project agencies and the implementing agencies of the Global Environment Facility, while acknowledging the potential impacts of this policy on developing country Parties, in particular the least developed countries, small island developing States, and African States;

11. *Also encourages* the Global Environment Facility to finalize the accreditation of project agencies and to share, in its next report to the Conference of the Parties, lessons learned and progress made in its pilot accreditation of project agencies, particularly in the least developed countries, small island developing States and African States;

12. *Requests* the Global Environment Facility to continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and efficiency of the process through which Parties not included in Annex I to the Convention receive funding to meet their obligations under Article 12, paragraph 1, of the Convention;

13. *Invites* Parties to submit to the secretariat annually, in writing, and no later than 10 weeks prior to the subsequent session of the Conference of the Parties, their views and recommendations on the elements to be taken into account in developing guidance to the Global Environment Facility;

14. *Requests* the Standing Committee on Finance to take into consideration the submissions referred to in paragraph 13 above when providing draft guidance to the Global Environment Facility for consideration by the Conference of the Parties;

15. *Also requests* the Global Environment Facility to include, in its annual report to the Conference of the Parties, information on the steps that it has taken to implement the guidance provided in this decision.

10th plenary meeting
13 December 2014

Decision 9/CP.20

Fifth review of the Financial Mechanism

The Conference of the Parties,

Recalling decisions 3/CP.4, 2/CP.12, 1/CP.16, 2/CP.16 and 8/CP.19,

Welcoming the progress made by the Board of the Green Climate Fund in operationalizing the Green Climate Fund,

Noting that the fifth review of the Financial Mechanism focused on the Global Environment Facility owing to the fact that the Green Climate Fund is still developing its operations and that therefore it was premature to review many aspects of the Green Climate Fund,

1. *Welcomes with appreciation* the expert input to the fifth review of the Financial Mechanism provided by the Standing Committee on Finance, contained in the technical paper referred to in paragraph 3 below;

2. *Encourages* the Standing Committee on Finance to build on the same methodology and criteria in future reviews of the Financial Mechanism;

3. *Acknowledges* the executive summary of the technical paper on the fifth review[1], as contained in the annex, including the conclusions and recommendations made by the Standing Committee on Finance;

4. *Encourages* the operating entities of the Financial Mechanism to address, as appropriate, these recommendations in their future work, particularly with regard to the complementarity between the operating entities of the Financial Mechanism;

5. *Recognizes* the general positive assessment of the performance of the Global Environment Facility;

6. *Notes*, however, that the least developed countries and small island developing States still experience challenges in accessing the resources from the Global Environment Facility;

7. *Decides* to consider the timing of guidance provided by the Conference of the Parties to the operating entities of the Financial Mechanism, especially that guidance which has resource implications vis-à-vis the replenishment cycles of the operating entities of the Financial Mechanism, in order to ensure that key guidance is fully considered in the programming strategies and policy recommendations associated with each replenishment period of the operating entities of the Financial Mechanism;

8. *Also decides* to initiate the sixth review of the Financial Mechanism at its twenty-second session (November 2016), in accordance with the criteria contained in the guidelines annexed to decision 8/CP.19, or as these guidelines may be subsequently amended;

9. *Requests* the Standing Committee on Finance to provide expert input to the sixth review of the Financial Mechanism in 2017 with a view to the review being completed by the Conference of the Parties at its twenty-third session (November 2017).

[1] SCF/TP/2014/1

Annex

Executive summary of the technical paper on the fifth review of the Financial Mechanism

I. Background

1. At its 6th meeting, the Standing Committee on Finance requested the secretariat to prepare a technical paper that will inform the Committee in its deliberations on the effectiveness of the Financial Mechanism and in the drafting of its expert inputs, which will be submitted to the Conference of the Parties (COP) at its twentieth session. The technical paper builds on the criteria for the review agreed by Parties at COP 19.[1] These criteria have been grouped in the following clusters of issues: (i) governance; (ii) responsiveness to COP guidance; (iii) mobilization of financial resources; (iv) delivery of financial resources; (v) results and impacts achieved with the resources provided; (vi) consistency of the activities of the Financial Mechanism with the objectives of the Convention; (vii) consistency and complementarity of the Financial Mechanism with the other sources of investment and financial flows.

2. This technical paper is informed by desk research and literature review of the sources of information identified in the updated guidelines,[2] complemented with past decisions related to the Financial Mechanism as well as inputs from the secretariats of the operating entities of the Financial Mechanism. Interviews with the stakeholders of the operating entities of the Financial Mechanism were also undertaken in order to generate further information. Furthermore, the technical paper also benefited from information included in the 2014 biennial assessment and overview of financial flows prepared by the Standing Committee on Finance. As there was a time limitation, it was not possible to expand the research beyond the available literature and conduct surveys on an appropriate sample of recipient countries in order to complement the areas where updated information was not available. Such an approach, however, could be undertaken in preparing for the sixth review of the Financial Mechanism.

3. The Standing Committee on Finance, having considered the technical paper, prepared this executive summary to form its expert input to the fifth review of the Financial Mechanism.

II. Key insights, conclusions and possible recommendations

A. Governance

1. Transparency of the decision-making process of the operating entities

4. An independent assessment by Transparency International evaluated the decision-making process of the Global Environment Facility (GEF) as being fairly transparent and democratic to all its stakeholders. The stakeholders of the GEF include the Parties to the relevant Conventions, the COP, donors, civil society organizations and non-governmental organizations. Decisions of the GEF Assembly and the GEF Council are made by consensus, following consultation with stakeholders who have advance access to background documents, which are prepared for these two decision-making bodies. The

[1] Annex to decision 8/CP.19.

[2] As footnote 1 above.

meetings of the GEF Council are webcast and all Council documents and decisions are available online.[3]

5. While it was found that there is transparency at the level of the GEF Assembly and the GEF Council, Transparency International indicated that there remains room for improvement with regard to transparency in information disclosure by GEF agencies to GEF stakeholders. Furthermore, the fourth overall performance study of the GEF[4] also highlighted a lack of transparency at the identification phase of GEF projects.

6. Owing to the fact that the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) follow the policies, procedures and governance structure of the GEF, their stakeholders experience similar challenges to the GEF regarding transparency and accountability at the level of project implementation.

7. The governance structure of the Green Climate Fund (GCF) follows a constituency model, with an established board composed of an equal number of members from developed and developing countries. The GCF Board is independent, accountable to the COP and aims to promote transparent decision-making. The Board members are selected by their respective constituency or by a regional group within their constituency. The GCF Board meetings are not webcast but they are recorded, and the recordings are made available online[5] three weeks after the meeting for registered users, while the meeting documents are made publicly available online[6] before each meeting of the Board.

Conclusions

8. Based on the review by Transparency International, there is evidence that the decision-making process at the GEF is transparent. The operations and interactions of the implementing agencies of the GEF with the recipient countries during project implementation could benefit from further transparency of information disclosure on the status of implementation of the projects. This transparency is particularly critical in those recipient countries where project implementation capacity is weak.

9. With respect to the transparency at the project preparation phase, the review found that the national portfolio formulation exercises (NPFEs) promoted by the GEF during the fifth replenishment period of the GEF (GEF 5) has helped to improve the transparency of project preparation. Recipient countries are therefore encouraged to continue to undertake the NPFEs in order to facilitate the identification of projects.

2. Level of stakeholder involvement

10. The GEF has fostered a high level of participation from civil society organizations (CSOs), and the private sector. The GEF Civil Society Organization Network, which comprises all accredited CSOs to the GEF, takes part in the GEF process from upstream policy development to project implementation at both national and local levels. The GEF Council meetings are preceded by a meeting of the GEF Civil Society Organization Network, and in addition, two CSO representatives participate in GEF Council meetings as observers and are invited to make interventions during those meetings. The GEF is currently reviewing the Policy on Public Involvement in GEF projects, in consultation with the GEF Civil Society Organization Network, in order to formulate draft guidelines for public involvement to be presented to the GEF Council in October 2014.

[3] <http://www.thegef.org/gef/council_meetings>.
[4] Available at <http://www.thegef.org/gef/OPS4>.
[5] <http://www.gcfund.org/meetings.html>.
[6] As footnote 5 above.

11. The Governing Instrument of the GCF mandates the GCF Board to make arrangements, including developing and operating accreditation processes, to allow for effective participation by accredited observers in its meetings and to invite, to participate as active observers, two civil society representatives: one each from developing and developed countries, and two private sector representatives, one each from developing and developed countries.

12. The GCF Board adopted additional rules of procedure for the Board relating to observers and an accreditation process for observers to the Fund was put in place. To date, 183 organizations including CSOs, private sector organizations and international entities have been accredited as observers to GCF Board meetings. Furthermore, all four accredited active observers from civil society and the private sector participate in GCF Board meetings and are invited to make interventions.

Conclusion and recommendation

13. The GEF has been successful in ensuring stakeholder involvement both at the level of the GEF Council and in project implementation.

14. The GCF could build on the experience of and lessons learned from the GEF in terms of stakeholder involvement. In this regard, the GCF may consider establishing a robust consultative process with its observers in order to ensure that adequate and timely consultation is undertaken with respect to the development of its policies, procedures, guidelines, and, later on, during the implementation of programmes and projects of the Fund.

3. Gender-sensitive approaches

15. The sub-study on gender mainstreaming made in the context of the fifth overall performance study of the GEF found that the GEF secretariat had made significant efforts to implement a gender mainstreaming policy, while there was scope for improvement in the application of the policy by GEF agencies. In addition, the policy recommendation of the sixth replenishment period of the GEF on further work on gender mainstreaming emphasized that more concerted efforts need to be made in order to enhance gender mainstreaming within the GEF. Accordingly, the GEF secretariat is currently developing a Gender Action Plan, which will identify ways to enhance gender mainstreaming, including the use of relevant gender-sensitive indicators and sex-disaggregated data. The Action Plan will be presented to the GEF Council in October 2014.

16. In the light of the provisions of its governing instrument to take a Fund-wide "gender-sensitive approach", the GCF has committed to integrating gender considerations in its procedures and operational modalities. At its seventh meeting, the GCF Board approved an initial results management framework with provisions for sex-disaggregated indicators, including initial criteria for assessing programmes and projects proposals that include gender aspects. The GCF secretariat is currently preparing a draft gender action policy and action plan for consideration by the Board at its meeting in October 2014.

Conclusion and recommendation

17. The GEF has made considerable progress in mainstreaming gender into its activities. Since there is scope for improvement, an action plan is to be approved by the GEF Council in October 2014 and the results of this progress are expected to be reflected in the programmes and projects of the GEF.

18. In developing its own approach to gender mainstreaming, the GCF could build on the experience of the GEF. It is recommended that gender equality be integrated in the structure and organization of the GCF itself, and that gender-sensitive criteria be taken into account in funding approvals of the Fund.

4. Environmental and social safeguards

19. The GEF Policy on Agency Minimum Standards on Environment and Social Safeguards applies across all GEF agencies. Moreover, all entities seeking to be accredited must demonstrate not only that their internal policies and procedures comply with minimum standards, but also that the entities themselves have the institutional capacities and systems in place to implement those standards. To date, all existing GEF agencies are in compliance with the environmental and social safeguards of the GEF.

20. The GCF Board has adopted, on an interim basis, the International Financial Corporation's IFC Performance Standards on Environmental and Social Sustainability, with a view to developing its own environmental and social safeguard policy within three years of becoming operational.

Conclusion and recommendation

21. As the GCF is developing its own environment and social safeguards, it should consider consistency with the safeguards of the GEF.

22. Since the GCF will also be using financial intermediaries such as commercial banks, it is recommended that the GCF also develop an appropriate oversight mechanism to ensure that the institutions to which these intermediaries will channel funding also comply with the environmental policies and social safeguards of the GCF.

5. Fiduciary standards

23. The minimum fiduciary standards of the GEF build on international best practices. GEF agencies are responsible for monitoring and implementing these standards. To date, all existing GEF agencies are in compliance with the minimum fiduciary standards established by the GEF.

24. At its 7th meeting, the GCF Board adopted initial fiduciary principles and standards, which will be reviewed within three years of their adoption. The GCF Board also requested the secretariat to develop, under the guidance of an accreditation panel established by the Board, additional specialized fiduciary standards that may be deemed necessary in order to effectively accommodate all capacities that are required in implementing entities and intermediaries in the initial phase of operations of the Fund.

Recommendation

25. As it monitors the use of its initial fiduciary standards and reviews those standards within the next three years, the GCF should consider maintaining consistency with the standards of the GEF.

B. Responsiveness to Conference of the Parties guidance

1. Level of responsiveness to Conference of the Parties guidance

26. In assessing the responsiveness of the GEF to COP guidance, the fifth overall performance study found that the guidance by the COP is fully reflected in the strategies of the GEF and that requests from the COP are largely taken into account in programming GEF resources. It concludes that the level of responsiveness of the GEF to COP guidance is high both at the strategic and portfolio levels.

27. Some of the Parties and stakeholders of the GEF viewed the GEF to be slow in operationalizing some of the guidance provided by the COP. The fifth overall performance study of the GEF, however, indicated that there are a few issues that made it difficult for the GEF to respond to the guidance received including: (i) the lack of clarity and

prioritization in the guidance; (ii) the repetitive nature of the guidance, which has led to an enormous volume of requests to the GEF; and (iii) the timing of the provision of guidance that falls between replenishments of the GEF.

Conclusion and recommendation

28. The Evaluation Office of the GEF has found that the GEF is highly responsive to COP guidance, and that it has taken considerable steps to report to the COP in this regard. The GEF is encouraged to continue to provide information on how it has responded to the guidance it has received via its report to the COP.

29. As the GCF is under development, it is too early to assess the level of its responsiveness to COP guidance. However, the efforts made by the GCF Board to respond to COP guidance can be acknowledged.

2. Efficiency of the Global Environment Facility project cycle

30. The GEF has been making considerable efforts over the past 10 years to improve the efficiency of its project cycle. Full size projects (FSPs) approved during the first replenishment period of the GEF took an average of 36 months to progress through the project preparation cycle. This already lengthy preparation time increased to 50 months for projects during the second replenishment period of the GEF, and to 66 months for projects during the third replenishment period of the GEF. However, during GEF 5, the average time for preparation of GEF project cycle dropped to 18.5 months, as the GEF Council established a standard time frame of 18 months for project preparation.

31. Since 2012, the GEF has undertaken a series of measures that seek to improve the efficiency of its project cycle, including a pilot project for the harmonization of the GEF and World Bank project cycles. The policy recommendation of the sixth replenishment period of the GEF (GEF 6) on improving the efficiency of the GEF project cycle requested the GEF secretariat to continue to review the performance of the GEF against the current time frame standard of 18 months from GEF Council approval and endorsement by the Chief Executive Officer of the GEF to identify: (i) more effective measures with which to expedite project preparation; and (ii) an appropriate standard project cycle time frame for the GEF 6.

32. Consequently, the GEF secretariat will prepare, for consideration by the GEF Council at its meeting in October 2014, a set of further measures to improve the policies and procedures associated with the full project cycle, including the programmatic approach and a proposal for a policy on the cancellation of projects that exceed time frame targets for project preparation as requested by the GEF Council at its November 2013 meeting.

Conclusion

33. It is recognized that the GEF has undertaken measures to improve the length and efficiency of its project cycle over the years. These measures have resulted in significant improvements and the GEF is encouraged to continue undertaking such measures.

C. Mobilization of financial resources

1. Amount of resources provided to developing countries

34. The GEF Trust Fund has been the primary source of grants provided to developing countries though the Financial Mechanism. Funding for climate change mitigation by the GEF has increased steadily from the GEF pilot phase to GEF 5. As at June 2014, the GEF has funded 787 projects on climate change mitigation amounting to more than USD 4.5 billion. Specifically, during GEF 5, about USD 1.2 billion of GEF funding was

programmed for direct mitigation projects. Moreover in April 2014, donors pledged USD 4.43 billion to the GEF for GEF 6 (July 2014 to June 2018).

35. With the complete programming of the USD 50 million allocation for the strategic priority on adaptation under the GEF Trust Fund, funding in support of adaptation at the GEF is now delivered directly through the LDCF and the SCCF. As at 30 June 2014, about USD 1.3 billion overall has been programmed by the GEF for adaptation.

36. The LDCF and the SCCF rely on voluntary contributions from developed countries and have experienced increasing trends in contributions. Cumulative pledges to the LDCF went from USD 292 million in October 2010 to about USD 900 million in June 2014 (96 per cent has been disbursed by developed countries), while cumulative pledges to the SCCF went from USD 167 million in October 2010 to about USD 344 million in June 2014 (94 per cent has been disbursed by developed countries).

37. An important milestone was achieved at the 7th meeting of the GCF Board, when it completed the eight essential requirements for the Fund to receive, manage, programme and disburse resources, and thereby decided to commence the process for an initial resource mobilization. Although no numerical figure or target was defined for this initial resource mobilization, it was agreed that it would be commensurate with the ambition of the Fund to promote the paradigm shift towards low-emission and climate-resilient development pathways in developing countries.

Conclusion

38. The GEF has mobilized resources via a replenishment process (GEF Trust Fund) and voluntary channels for the LDCF and the SCCF. Additional resources are mobilized by co-financing for GEF funds. Through the aforementioned resources, combined, the GEF has raised considerable funds for climate change.

2. Amount of finance leveraged and modalities of co-financing

39. From the estimates of co-financing ratios achieved by the GEF, climate change has attained the highest co-financing ratios. As a result, climate change constitutes about 50 per cent of the total co-financing mobilized by the GEF. However, caution should be exercised when looking at these ratios, as they mask a high variability in these ratios at the project level, and the flexibility accorded by the GEF to least developed countries (LDCs) and small island developing States (SIDS), from which a higher level of co-financing is not necessarily requested during the approval process.

40. National governments have been the main source of co-financing (equivalent to about 41 per cent of the fourth replenishment of the GEF (GEF 4) and GEF 5 co-financing that has been mobilized), followed by the GEF agencies as the second highest provider of co-financing (about 25 per cent of GEF 4 and GEF 5 total co-financing), the private sector and bilateral, multilateral sources, foundations or NGOs.

41. Two main issues have been raised within the GEF partnership with regards to co-financing. The first is the lack of clarity in the definition and application of co-financing by the GEF. The second is that the process for seeking co-financing can delay the project cycle significantly. At its 46th meeting, in May 2014, the GEF Council approved a "revised co-financing policy",[7] in response to the policy recommendations of GEF 6 on co-financing and the request made by the COP to the GEF, in order to clarify the concept of co-financing and its application to the review of funding proposals. The new policy clarifies the definition of co-financing and approaches to promoting effective co-financing. It also sets a

[7] Available at <http://www.thegef.org/gef/sites/thegef.org/files/documents/document/Co-financing_Policy.pdf>

goal for the overall GEF portfolio of reaching a co-financing ratio of at least USD 6 (co-financing) to USD 1 (GEF) with the expectation of greater co-financing in upper middle income countries that are not SIDS. There are no project-specific co-financing requirements.

Conclusion and recommendation

42. In order to expedite the project cycle during GEF 6, the GEF should ensure that its co-financing policy is clearly understood and appropriately applied by accredited GEF project agencies and GEF implementing agencies.

3. Adequacy, predictability and sustainability of funds

43. With a replenishment process taking place every four years, funding to the GEF Trust Fund is provided in a predictable and sustainable manner by developed countries. As no assessment of the financing needs of developing countries has been agreed on at the level of the Convention, it is challenging to assess the adequacy of the financing provided to the GEF. Furthermore, since GEF is only a channel through which financial support is provided to developing countries, an assessment of the adequacy of resources mobilized for developing countries that looks only at the operating entities of the Financial Mechanism will be misleading because of its narrow scope.

44. Through the application of its System for Transparent Allocation of Resources (STAR), the GEF has made the funding for its recipient countries, especially SIDS and LDCs, fairly predictable. The midterm evaluation undertaken by the GEF Independent Evaluation Office highlighted that STAR has contributed to making GEF operations more relevant to country needs and priorities and has led to greater transparency in GEF operations. As a result, high levels of utilization of STAR allocations were experienced during GEF 5 by all GEF recipients, with an 85 and 80 per cent utilization of overall STAR allocations by SIDS and the LDCs, respectively. Moreover, the GEF 6 policy recommendation on updating STAR stipulates measures to increase the funding allocations for the LDCs.

45. Although the LDCF has seen considerable growth over recent years, additional contributions are needed if the Fund is to meet the full costs of addressing the urgent and immediate adaptation needs of the LDCs. For example, as at September 2014, no resources were available for new funding approvals under the LDCF, whereas resources amounting to USD 41.8 million were sought for five full-sized projects that had been technically cleared by the GEF secretariat. For the next GEF cycle (2014–2018), the GEF has estimated the financing needs of the LDCF at USD 700–900 million.

46. Despite a successful record both in terms of positive evaluations and accelerated approval and disbursement rates, the main obstacle to adaptation programming under the SCCF remains the lack of adequate and predictable resources. Given the continued high demand for resources from the SCCF, the GEF has reported that, for example during the fiscal year 2014, the SCCF could meet less than 30 per cent of the demand reported in the priority project documents submitted to the GEF secretariat for technical review and in the relevant work programme entry. The GEF has estimated the financing needs of the SCCF for 2014–2018 at USD 400–500 million.

47. STAR does not apply to LDCF and SCCF funding. However, the LDCF applies a principle of "equitable access" to ensure that funding is available to all LDCs. This principle includes a ceiling intended to prevent countries with strong institutional capacity in preparing projects from depleting the limited resources of the LDCF, to the disadvantage of other LDCs. In April 2014, the ceiling was increased from USD 20 million to USD 30 million in response to the significant, additional contributions received between June and December 2013.

48. The GCF is expected to eventually have a replenishment process, as the GEF does. The GCF will aim for an equal allocation of finance to mitigation and adaptation projects over time, and for at least 50 per cent of the adaptation finance to be allocated to particularly vulnerable countries, including the LDCs, SIDS and the African States. The Board has also decided to maximize the engagement of the private sector, including through significant allocation to the Private Sector Facility of the Fund.

Conclusion and recommendations

49. The financing for climate change from the GEF Trust Fund increased significantly from GEF 4 to GEF 5. While the allocation to the GEF 6 climate change focal area has slightly decreased compared with GEF 5, there are several climate-relevant components in the new integrated approaches and within the sustainable forest management set-aside. Overall, financing for climate change related interventions has continued to increase from GEF 5 to GEF 6. Moreover, the GEF Trust Fund is considered to be predictable and sustainable. Its adequacy, however, cannot be determined since the GEF is only one of the many financing channels for climate change in developing countries.

50. The review has found that the funds provided to the LDCF and SCCF have substantially increased over the period of the review. The needs, however, have also increased during that period and there remains a backlog of fundable projects. Financing is provided to these funds via voluntary channels and is therefore not considered predictable and sustainable.

51. The GEF and the GCF may consider collaborating in the use of funding pathways that may include the LDCF and the SCCF.

D. Delivery of financial resources

1. Accessibility to funds

52. The GEF delivers financing to recipient countries' governments, to NGOs and to the private sector. This is guided by a country allocation for the different focal areas of the GEF Trust Fund. There is no allocation system for the LDCF and the SCCF. However, the GEF has established a ceiling for the LDCF in order to prevent countries with strong institutional capacity in preparing projects from depleting the limited resources of the LDCF, to the disadvantage of the other LDCs. The GEF has also established a process for direct access to the GEF Trust Fund for enabling activities, but only a few countries have applied such direct access.

53. The allocation parameters and procedures of the GEF and its agencies, as well as the capacity of countries to formulate and develop proposals, affect developing countries' access to the GEF. To further assist countries, the GEF secretariat is working to directly engage countries and increase their awareness and understanding of policies and procedures of the GEF. This is done through national dialogues and other such mechanisms.

54. During GEF 5, all developing countries including LDCs and SIDS were able to programme their STAR allocation. Estimates of the overall utilization of STAR allocations by developing countries show an uptake of 93 per cent for the overall GEF Trust Fund, with 80 and 85 per cent of utilization by LDCs and SIDS, respectively. While some of the barriers to accessing the GEF Fund were solved with STAR, co-financing remains an obstacle to access, especially for the LDCs and SIDS.

55. The GEF Council in 2010 decided to accredit up to 10 new GEF project agencies, at least half of them based in developing countries, in order to expand the range of agencies with which GEF recipient countries could work. Out of the 10 new project agencies to be

accredited, the GEF aims to accredit at least 5 national institutions with a regional balance, at least 1 national institution from an LDC and at least 1 national institution from a middle income country. This process has moved slower than expected and the GEF is reviewing its strategy in the light of the findings of the report on the fifth overall performance study of the GEF.

56. The GCF will allow direct access to it by national institutions based in developing countries. The GCF readiness program is intended to foster a better direct engagement between it and its recipient countries. It will provide technical and capacity-building support for implementing entities (particularly national and subnational institutions) that may not meet the standards of the Fund yet.

Conclusion and recommendation

57. The GEF has made a significant effort to inform countries of the programmes and policies of the GEF, and as a result, recipient countries have utilized most of their allocations. Nevertheless, the LDCs and SIDS still face challenges in accessing all of their resources.

58. The GCF would benefit from lessons learned on the accreditation process from other funds, particularly the GEF. In the case of the GEF, the goal of accreditation of 10 project agencies was only partially achieved. The GCF may consider building on existing systems of GEF intermediaries and implementing entities, and may in the process also consider providing financial assistance to support the accreditation of national entities in recipient countries that may need it.

2. Disbursement of funds

59. The speed and efficiency of disbursement appears to be improving at the GEF, despite some challenges. While the number of projects delayed by more than two years is substantially reduced compared with GEF 4 levels, information on the amount of funding that has actually been disbursed by GEF agencies to recipient countries has not been made available in an integrated form owing to a lack of reliability of data, which is due to a lack of standard definitions of when "disbursement" takes place from GEF agencies to recipient countries. Countries have identified slow disbursements as a reason for project delays. The GEF is currently working on harmonizing the timeline for the disbursement of funds and setting performance targets.

60. There has been significant emphasis on disbursement in the LDCF and the SCCF. In the case of the former, the May 2014 annual monitoring report finds that active projects amounted to USD 134.98 million as at 30 June 2013, of which USD 46.49 million had been disbursed, representing an average disbursement rate of 38 per cent. The SCCF had committed USD 94.29 million to 21 projects by 30 June 2013, of which USD 33.22 million or 32 per cent had been disbursed.

Conclusion

61. There is a recognized need to strengthen GEF project monitoring systems in order to be able to provide better information on the level of disbursement of approved funds. The GEF should work with its agencies on establishing a standard definition of "disbursement" in order to generate a common understanding of the term within the GEF partnership and enhance transparency of its processes.

3. Country ownership of programmes and projects

62. Efforts were made to strengthen the country ownership of GEF programmes and projects during GEF 5. In this regard, the midterm reviews of the experiences with STAR suggest that the clarity that countries now have on the scale and scope of their GEF

allocation has contributed to strengthening the ownership of programming at the GEF. Additionally, countries are now also supported to undertake an NPFE to engage across governments and relevant stakeholders on how GEF resources should best be used and prioritized. In the majority of cases, the NPFE provided a helpful framework for interaction between the GEF and stakeholders, but its uptake during GEF 5 was relatively low. Participants to the GEF-6 replenishment process encouraged recipient countries to undertake NPFEs as early as possible so as to facilitate the programming of GEF 6 country allocations.

63. The concept of country ownership has been a driving principle in the design of the GCF. It is also a key element of the GCF investment framework approved in May 2014. Coherence with national policies and strategies and engagement with national stakeholders will be key considerations in fostering country ownership in the actions of the GCF. A transparent no-objection procedure is to be developed to this end. Through early investments in readiness, the GCF secretariat is beginning the process of engagement with countries in order to understand their priorities.

Recommendation

64. There is a recognized need to continue to deepen engagement at different levels of the GEF partnership as a means of fostering ownership of projects and programmes in recipient countries. Upfront support in facilitating national stakeholder engagement on how best to use country allocations has proven to be useful when done through NPFEs. Developing countries should continue to undertake NPFEs in order to facilitate the programming of their GEF 6 STAR allocations.

4. Sustainability of programmes and projects

65. The GEF defines sustainability as the maintenance of the benefits of the project and programs beyond the life of the GEF intervention. In this regard, the review found that 70 per cent of GEF projects have been rated moderately satisfactory or higher in terms of their sustainability. Financial and institutional risks, as well as staff turnover and changes in government priorities have been highlighted as potential impediments to sustainability. Mainstreaming of the activities of the projects has been found to be best practice. However, mainstreaming normally requires time that goes well beyond the life of the project.

Conclusion

66. Policy and legislative changes as well as mainstreaming have been found to promote sustainability, but cannot always be fully implemented within the lifetime of the project.

5. Enabling environments

67. A significant share of GEF 5 programmes have sought to strengthen policy and regulatory environments in order to support low-emission and climate-resilient development. In this regard, a recent evaluation of GEF support for mitigation documented causal links between support and key policy changes in a third of the projects that it reviewed. It emphasized the importance of public sector institutions, strategies and policies for the private sector replication of the approaches piloted. It found that enabling programmes that engaged key non-governmental stakeholders (including the private sector) that could be advocates for policy change were more successful.

68. Country-driven GEF projects that aim to develop and enact key policy changes may improve the enabling environment in recipient countries. However, it should be noted that strengthening policy and regulatory environments may require more time than a single GEF project cycle.

Conclusion

69. There is ample room for the GCF to learn from the experiences of other funds in terms of improving the enabling environments in recipient countries. It can do this by linking investments with focused efforts to engage stakeholders within countries in programming, and by providing technical assistance and capacity-building so as to strengthen enabling environments – institutions, policies, and regulations – that support mitigation and adaptation actions in developing countries.

E. Results and impacts

70. In an effort to assess the impacts of its activities, the GEF has created a results-based management (RBM) framework and monitoring and evaluation (M&E) requirements. The fifth overall performance study, however, has reported that the RBM framework and M&E requirements of the GEF are too onerous to be executed and had recommended that the RBM framework of GEF 6 include a limited number of outcomes that can be measured through existing or easily generated data.

71. As a result, the GEF has made and is continuing to make efforts to streamline its RBM framework in order to improve the measurement of the results and impacts of its activities.

1. Mitigation results

72. The fifth overall performance study of the GEF found that as at 30 June 2013, the GEF had allocated a total of USD 3.3 billion to 615 projects that address climate change mitigation, of which USD 3.1 billion has been allocated to 547 projects with mitigation targets. The total amount of direct and indirect mitigation impact expected from these projects is 2.6 and 8.2 billion tonnes of carbon dioxide equivalent (CO_2 eq) emissions, respectively, or 10.8 billion tonnes of CO_2 eq combined.

73. Despite improving the methodologies for the measurement of greenhouse gas (GHG) emission reductions, evaluations by the GEF of mitigation impact stress the difficulties of consistent reporting. The key underpinning parameters are dynamic, and this may result in substantial changes to realized GHG emission reductions. Similarly, assessing the cost-effectiveness of interventions is difficult. The GEF has initiated a work programme in order to improve its methodologies and systems for measuring GHG reductions more consistently.

2. Adaptation results

74. Over the years, the adaptation programme of the GEF (the GEF Trust Fund, the LDCF and the SCCF) has supported focused efforts to help developing countries to adapt to and strengthen their resilience to the impacts of climate change. As at 26 September 2014, a total of 79 LDCF projects provided an estimate of the expected number of direct beneficiaries. These projects, with LDCF resources amounting to USD 386.31 million, seek to reduce the vulnerability of an estimated 8.1 million people directly. Forty-nine LDCF projects support 35 countries in their efforts to integrate climate change adaptation into 112 national development policies, plans and frameworks. The LDCF also assists countries in laying the groundwork for climate-resilient development planning through 51 projects that will enable 34 countries to strengthen their national hydro-meteorological and climate information services.

75. Under the SCCF, 32 projects provided an estimated number of direct beneficiaries as at 26 September 2014. These projects, to which SCCF resources amounting to USD 135.72 million have been allocated, aim to reduce the vulnerability of an estimated 3.54 million people directly. In addition, 19 SCCF projects are already supporting 34 countries

in their efforts to integrate climate change adaptation into 102 national development policies, plans and frameworks.

Recommendation to strengthen adaptation and mitigation results

76. The GEF and the GCF may consider collaborating to harmonize impact indicators and set new norms around reporting practice, especially in the context of adaptation finance. Furthermore, the operationalization of the GCF results-based management framework presents an opportunity to make progress in this regard.

3. Technology transfer

77. During GEF 5, the GEF promoted technology transfer at various stages of the technology development cycle, from demonstration of innovative emerging low-emission and climate-resilient technologies to diffusion of commercially proven environmentally sound technologies and practices. Moreover, support for technology transfer has also been delivered in the context of the Poznan strategic programme on technology transfer for which a funding window of USD 50 million was created at the GEF with funds from both the GEF Trust Fund and the SCCF. The GEF has also supported the operationalization of the Climate Technology Centre and Network.

4. Capacity-building

78. The GEF has made significant investments in capacity-building, including through cross-cutting capacity-building projects as well as through capacity gained in the design and implementation of projects. Investments of the GEF covered most of the priority areas listed in the framework for capacity-building in developing countries. Furthermore, capacity-building replication and scaling up, and climate change mainstreaming into national development planning are becoming increasingly common practice within the GEF. For example, several GEF small grant projects developed into medium- and full-sized projects.

Conclusion on results and impacts

79. There is evidence that good results and impacts have been achieved with the resources provided by the GEF. Efforts to harmonize and improve the methodologies for measuring the results and impacts of the supported activities need to continue.

F. Consistency of the Financial Mechanism with the objective of the Convention

80. Article 2 of the Convention stipulates that the ultimate objective of this Convention and any legal instrument adopted by the Convention is to achieve, in accordance with the relevant provisions of the Convention, stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system, within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner. Furthermore, in accordance with decision 1/CP.16, paragraph 4, the long-term goal of holding the increase in the global average temperature below 2 °C above pre-industrial levels was recognized.

81. The review found that as an operating entity of the Financial Mechanism of the GEF, through its projects and programmes, contributes to supporting developing countries in meeting the objective of the Convention, while enhancing their resilience to the adverse effects of climate change. In relation to the below 2 °C goal, the Intergovernmental Panel on Climate Change (IPCC) has noted that emission patterns that limit temperature increase

from pre-industrial levels to no more than 2 °C require considerably different patterns of investment.

Conclusion

82. The GEF programmes and policies are consistent with the objectives of the Convention.

G. Consistency and complementarity of the Financial Mechanism with the other financial flows and sources of investment

83. Decision 11/CP.1, paragraph 2(a), provides that "consistency should be sought and maintained between the activities (including those related to funding) relevant to climate change undertaken outside the framework of the financial mechanism and the policies, programme priorities and eligibility criteria for activities as relevant, established by the Conference of the Parties".

84. In terms of activities funded outside the framework of the Financial Mechanism of the Convention, the clean development mechanism (CDM) has been a successful incentive to implement mitigation action in developing countries. By the end of 2013, over 7,400 CDM projects had been registered in 93 developing countries, representing an estimated investment in excess of USD 400 billion and amounting to 1.46 billion certified emission reductions issued (or a reduction of 1.46 billion tonnes of CO_2 eq).

85. Additionally, the Clean Technology Fund (of the Climate Investment Funds (CIFs)), currently the largest multilateral mitigation fund with a cumulative capitalization of USD 5.5 billion, has been providing grants and concessional loans to developing countries.

86. While the Adaptation Fund (AF) has been an important vehicle in providing support for adaptation in developing countries. It was established to finance concrete adaptation projects and programmes in developing countries, and since its inception has allocated USD 232 million of grants to 40 developing countries. The AF has also pioneered direct access with the accreditation of national implementing entities (NIEs) in developing countries which can directly access the Fund without having to go through intermediaries. To date, 17 NIEs have been accredited to the AF.

87. Another channel that has supported adaptation in developing countries is the Pilot Programme for Climate Resilience (PPCR) of the CIFs. The PPCR funds technical assistance and investments in order to support countries' efforts to integrate climate risk and resilience into core development planning and implementation. With total pledges amounting to USD 1.3 billion, the PPCR provides incentives for scaled-up action and initiates transformational change by catalysing a shift from 'business as usual' to broad-based strategies for achieving climate resilience at the national level.

88. In terms of ensuring complementarity with the other financial flows and sources of investment, the GEF has reported that it continues to work collaboratively with other organizations on financing complementary activities. For example, synergies have been highlighted between the Clean Technology Fund and the GEF climate change focal area, as well as between the pilot programme on climate resilience and the LDCF and the SCCF. Furthermore, the GEF and the AF have been working collaboratively in order to enhance synergies and avoid duplication of their respective actions in developing countries.

89. With the establishment of the GCF, the risk of overlap among the activities financed within and outside the Convention is high. Although duplication is not desirable, it may not be the most important issue at this time, since, as outlined in the IPCC Fifth Assessment Report, much more significant climate financing is needed than that provided at present

through all of these funds combined. Moreover, the funds can collaborate with each other to learn lessons from one another's programmes and to set common performance targets. In this context, the respective funds under the Convention should be actively engaging on their strategic positioning towards the GCF and how they could foster complementarity with it.

90. The governing instrument of the GCF provides that the Board will develop methods to enhance complementarity between the activities of the Fund and the activities of other relevant bilateral, regional and global funding mechanisms and institutions to better mobilize the full range of financial and technical capacities.

Conclusions and recommendations

91. The GEF has developed policies and programmes that have allowed it to be complementary to the community of climate finance providers.

92. The operating entities of the Financial Mechanism and the funds under the Convention should collaborate with the view to taking advantage of the complementarity of their respective policies and programmes. The operating entities of the Financial Mechanism should provide information on the progress made in ensuring the complementarity with the other sources of climate finance in their respective reports to the COP.

93. The Standing Committee on Finance could take into account the information on the efforts of the operating entities to enhance complementarity, when providing draft guidance for consideration by the COP.

10th plenary meeting
13 December 2014

Decision 10/CP.20

Further guidance to the Least Developed Countries Fund

The Conference of the Parties,

Recognizing the specific needs and special circumstances of the least developed countries, as referred to in Article 4, paragraph 9, of the Convention,

Recalling decisions 6/CP.9, 3/CP.11, 5/CP.14, 5/CP.16, 9/CP.17 and 10/CP.18,

Also recalling the least developed countries work programme, as defined in decision 5/CP.7,

1. *Welcomes* the increased allocation and disbursement of funds to the least developed country Parties under the Least Developed Countries Fund;

2. *Notes with appreciation* the additional contributions made by Parties to the Least Developed Countries Fund;

3. *Notes* the report of the Global Environment Facility to the Conference of the Parties at its twentieth session,[1] and the synthesis report prepared by the secretariat on the progress made in the implementation of the remaining elements of the least developed countries work programme;[2]

4. *Also notes* the submission from a Party on behalf of a group of Parties on information on experiences with the implementation of the remaining elements of the least developed countries work programme;[3]

5. *Further notes* that the Least Developed Countries Fund has financed the preparation of 51 national adaptation programmes of action, of which 50 have been completed, and has approved the funding for 159 national adaptation programmes of action implementation projects and for programmes in 48 least developed countries (as at 3 December 2014);

6. *Encourages* developed country Parties and other Parties in a position to do so to continue contributing on a voluntary basis to the Least Developed Countries Fund in order to support the implementation of the least developed countries work programme;

7. *Invites* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to continue to support the remaining activities contained in the least developed countries work programme;

8. *Requests* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to share, in its next report, lessons learned and progress made in its pilot accreditation of Global Environment Facility national project agencies;

9. *Invites* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to include, in its annual report to the Conference of the Parties, information on specific actions that it has undertaken to implement the remaining elements of the least developed countries work programme, including the updating and implementation of

[1] FCCC/CP/2014/2.
[2] FCCC/SBI/2014/INF.17.
[3] FCCC/SBI/2014/MISC.3.

national adaptation programmes of action, with a view to the Conference of the Parties determining, at its twenty-first session (November–December 2015), appropriate further guidance to be provided to the Global Environment Facility;

10. *Requests* the Global Environment Facility, as an operating entity of the Financial Mechanism of the Convention entrusted with the operation of the Least Developed Countries Fund, to enhance communication with its implementing agencies and to encourage its implementing agencies to enhance their communication with countries to facilitate a timely implementation of other elements of the least developed countries work programme including national adaptation programmes of action.

10th plenary meeting
12 December 2014

Decision 11/CP.20

Methodologies for the reporting of financial information by Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling Articles 4, 5, 7, 10 and 12 of the Convention,

Also recalling decisions 9/CP.2, 11/CP.4, 4/CP.5 and 1/CP.16, paragraph 40,

1. *Decides* to extend by one year the deadline of the mandate given to the Subsidiary Body for Scientific and Technological Advice, as referred to in decision 2/CP.17, paragraph 19, with a view to recommending a decision on the methodologies for the reporting of financial information, as referred to in decision 2/CP.17, paragraph 19, to the Conference of the Parties at its twenty-first session (November–December 2015);

2. *Invites* Parties and observer organizations to submit to the secretariat, by 25 March 2015, views on the methodologies for the reporting of financial information, as referred to in decision 2/CP.17, paragraph 19, for compilation into a miscellaneous document;

3. *Requests* the secretariat to prepare a technical paper, prior to the forty-second sessions of the subsidiary bodies (June 2015), summarizing existing international methodologies and drawing on relevant information contained in submissions from Parties included in Annex I to the Convention, as referred to in decision 2/CP.17, paragraph 17, on their experience with reporting the first biennial reports, the submissions referred to in paragraph 2 above, information submitted by Parties on appropriate methodologies and systems used to measure and track climate finance, as referred to in decision 5/CP.18, paragraph 10, and the work of the Standing Committee on Finance on the 2014 biennial assessment and overview of climate finance flows;

4. *Also requests* the secretariat to organize a joint in-session technical workshop in conjunction with the forty-second sessions of the subsidiary bodies, drawing on the information referred to in paragraphs 2 and 3 above, so as to inform the work of the Subsidiary Body for Scientific and Technological Advice, as referred to in decision 2/CP.17, paragraph 19;

5. *Decides* that the workshop referred to in paragraph 4 above shall be jointly organized under the auspices of the Subsidiary Body for Scientific and Technological Advice, the Subsidiary Body for Implementation and the Standing Committee on Finance;

6. *Requests* the Standing Committee on Finance, as a part of its work on measurement, reporting and verification of support beyond the biennial assessment and overview of climate finance flows, taking into consideration the outcomes of the joint in-session technical workshop referred to in paragraph 4 above, to include its recommendations on the methodologies for the reporting of financial information, as referred to in decision 2/CP.17, paragraph 19, in its annual report to the Conference of the Parties at its twenty-first session;

7. *Also requests* the Standing Committee on Finance to present an update on its work on this matter to the Subsidiary Body for Scientific and Technological Advice for its consideration at its forty-third session (November–December 2015);

8. *Takes note* of the estimated budgetary implications of the activities to be undertaken by the secretariat pursuant to the provisions contained in paragraphs 3 and 4 above;

9. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

10th plenary meeting
12 December 2014

Decision 12/CP.20

Fifth Assessment Report of the Intergovernmental Panel on Climate Change

The Conference of the Parties,

Recalling decisions 6/CP.1, 6/CP.2, 25/CP.7 and 5/CP.13,

1. *Welcomes* the Fifth Assessment Report of the Intergovernmental Panel on Climate Change;

2. *Expresses* its appreciation and gratitude to all those involved in the preparation of the Fifth Assessment Report for their excellent work;

3. *Recognizes* that the Fifth Assessment Report represents the most comprehensive and robust assessment of climate change to date, providing an integrated scientific, technical and socioeconomic perspective on relevant issues;

4. *Acknowledges* that the Fifth Assessment Report provides the scientific foundation for the Ad Hoc Working Group on the Durban Platform for Enhanced Action;

5. *Urges* Parties to the Convention to make use of the information contained in the Fifth Assessment Report in their discussions under all relevant agenda items;

6. *Encourages* Parties to draw on the information contained in the Fifth Assessment Report in the development of their national policies on climate change, as appropriate;

7. *Invites* the Intergovernmental Panel on Climate Change to continue to provide relevant information to Parties on the scientific, technical and socioeconomic aspects of climate change, taking into account the work of the UNFCCC in determining its future products and assessment cycles;

8. *Encourages* Parties to continue to support the work of the Intergovernmental Panel on Climate Change.

10th plenary meeting
12 December 2014

United Nations

FCCC/CP/2014/10/Add.3

Framework Convention on Climate Change

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Conference of the Parties

Report of the Conference of the Parties on its twentieth session, held in Lima from 1 to 14 December 2014

Addendum

Part two: Action taken by the Conference of the Parties at its twentieth session

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Decision 13/CP.20

Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling the relevant provisions of the Convention, in particular its Articles 4 and 12, and decisions 2/CP.1, 9/CP.2, 6/CP.3, 6/CP.5, 33/CP.7, 19/CP.8, 2/CP.9, 18/CP.10, 1/CP.13, 1/CP.16, 2/CP.17, 23/CP.19 and 24/CP.19,

Noting the work programme established in decision 2/CP.17 on the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews,

Also noting that, while the revision of the review guidelines for national communications and biennial reports was completed at the nineteenth session of the Conference of the Parties, the revision of the review guidelines for greenhouse gas inventories was to be completed by the twentieth session of the Conference of the Parties,

Recognizing the improvements that Parties included in Annex I to the Convention (Annex I Parties) have made in providing complete and timely annual greenhouse gas inventories,

Having considered the experience gained in the review of information submitted by Annex I Parties to date and the need to have a cost-effective, efficient and practical review process that does not impose an excessive burden on Parties, experts or the secretariat,

Having also considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice,

1. *Decides* to revise the "Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention", adopted by decision 23/CP.19, to make the necessary changes to include "Part III: UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention";

2. *Also decides* that the "Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention" contained in the annex shall be used for the review of biennial reports, national communications and greenhouse gas inventories, effective immediately;

3. *Requests* the secretariat to coordinate the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention in accordance with the provisions of the guidelines contained in the annex, subject to the availability of financial resources;

4. *Also requests* the secretariat to develop and implement a standardized set of data comparisons, and to select a group of experienced review experts from among the lead reviewers of the greenhouse gas inventories to conduct an assessment of those data comparisons every five years;

5. *Decides* that the group referred to in paragraph 4 above, using the assessment described in the same paragraph, should, for consideration at the next meeting of lead reviewers for greenhouse gas inventories:

(a) Explore additional standardized data comparisons, based on the requirements in paragraph 68 of the annex, as well as the past experiences with the data comparisons carried out in previous review cycles;

(b) Consider whether the standardized set of data comparisons implemented remains useful;

6. *Requests* the secretariat to include in the report referred to in paragraph 44 of the annex any revised set of the standardized data comparisons, for consideration by the Subsidiary Body for Scientific and Technological Advice;

7. *Also requests* the secretariat, in view of the adoption of "Part III: UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention", to modify the relevant information technology tools, as needed, to support the implementation of the review process, recognizing that the modification of those tools will require time and effort and that the implementation of the modifications will need to take place during the 2015–2016 review cycles;

8. *Further requests* the secretariat, as part of the technical review of annual national greenhouse gas inventories, to compile and tabulate aggregate information[1] and trends concerning greenhouse gas emissions by sources and removals by sinks from the latest available greenhouse gas inventory submissions of Parties included in Annex I to the Convention (Annex I Parties), and any other inventory information, and to publish this information on the UNFCCC website electronically as well as in a stand-alone document;

9. *Notes* that the document referred to in paragraph 8 above:

(a) Will provide aggregate information to the Conference of the Parties on greenhouse gas emissions by sources and removals by sinks and their trends for all Annex I Parties;

(b) Allows comparisons across Annex I Parties, as well as compiles and compares information across Annex I Parties in a tabular and, as appropriate, graphical format;

(c) May also be used as an input to the individual technical review process;

10. *Decides* that a summary of the document mentioned in paragraph 8 above will be published in electronic format for consideration by the Conference of the Parties and the subsidiary bodies, and that this summary will include trends in greenhouse gas emissions by sources and removals by sinks and an assessment of the adherence of the reported inventory information to the "Guidelines for the preparation of national communications by

[1] Containing the information on:
(a) For key categories, based on approach 1 of the *2006 IPCC Guidelines for National Greenhouse Gas Inventories* (hereinafter referred to as the 2006 IPCC Guidelines), and other selected categories: (i) methodologies used in the preparation of the inventories; (ii) implied emission factors, default values and ranges contained in the 2006 IPCC Guidelines; (iii) reported activity data and data from authoritative sources, taking into account the conclusions of the meeting of the lead reviewers for greenhouse gas inventories and agreed by the Subsidiary Body for Scientific and Technological Advice if possible; (iv) other information provided in the various common reporting format tables;
(b) Estimates of carbon dioxide emissions from fuel combustion using the Intergovernmental Panel on Climate Change reference approach compared with estimates of carbon dioxide emissions from fuel combustion using a national (sectoral) approach;
(c) Inventory recalculations.

Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories" and the provisions of relevant decisions of the Conference of the Parties, including information on any delays in submitting the annual inventory information;

11. *Recognizes* that the deadline, as set out in decision 24/CP.19, paragraph 5, for providing the upgraded CRF Reporter to Annex I Parties, enabling them to submit their greenhouse gas inventories, was not met;

12. *Notes* that version 5.0.0 of the CRF Reporter is not functioning[2] in order to enable Annex I Parties to submit their common reporting format tables for the year 2015;

13. *Reiterates* that Annex I Parties in 2015 may submit their common reporting format tables after 15 April, but no longer than the corresponding delay in the CRF Reporter availability;

14. *Urges* Annex I Parties to submit the information referred to in paragraph 13 above as soon as practically possible;

15. *Requests* the Subsidiary Body for Scientific and Technological Advice to consider, at its forty-eighth session (April–May 2018), the experiences in conducting desk reviews, taking into consideration any relevant conclusions of the meetings of lead reviewers for greenhouse gas inventories up to 2017.

[2] 'Functioning' software means that the data on greenhouse emissions/removals are reported accurately both in terms of common reporting format tables and Extensible Markup Language format

Annex

Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention

PART I: STRUCTURE OF THE REVIEW GUIDELINES

1. The UNFCCC guidelines for review of annual inventories are composed of part II and part III of these guidelines.

2. The UNFCCC guidelines for review of biennial reports are composed of part II and part IV of these guidelines.

3. The UNFCCC guidelines for review of national communications are composed of part II and part V of these guidelines.

PART II: GENERAL APPROACH TO THE REVIEW

A. Applicability

4. Information provided by Parties included in Annex I to the Convention (Annex I Parties) in their greenhouse gas (GHG) inventories, biennial reports (BRs) and national communications (NCs) will be subject to reviews pursuant to relevant decisions of the Conference of the Parties (COP), in accordance with the provisions of these guidelines.

B. Objectives

5. The objectives of the review of information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP are the following:

(a) To provide, in a facilitative, non-confrontational, open and transparent manner, a thorough, objective and comprehensive technical review of all aspects of the implementation of the Convention by individual Annex I Parties and Annex I Parties as a whole;

(b) To promote the provision of consistent, transparent, comparable, accurate and complete information by Annex I Parties;

(c) To assist Annex I Parties in improving their reporting of information contained in GHG inventories, BRs and NCs, and pursuant to other relevant decisions of the COP and the implementation of their commitments under the Convention;

(d) To ensure that the COP has accurate, consistent and relevant information in order to review the implementation of the Convention.

6. The objectives of the review guidelines are to promote consistency, comparability and transparency in the review of information reported under the Convention related to GHG inventories, BRs and NCs.

C. General approach

7. The provisions of these guidelines will apply to the review of information reported under the Convention related to GHG inventories, BRs and NCs, and pursuant to relevant decisions of the COP.

8. Specific provisions for the review of GHG inventories, NCs and BRs are included in specific parts of these review guidelines.

9. The same information submitted by an Annex I Party in its BR, NC and GHG inventory will be reviewed only once, by an expert review team (ERT).

10. The ERTs shall provide a thorough and comprehensive technical review of all aspects of the implementation of the Convention by Annex I Parties and shall identify any potential issues referred to in paragraphs 81 (inventory section), 105 and 119 below. The ERTs shall conduct technical reviews to provide information expeditiously to the COP in accordance with the procedures detailed in these guidelines.

11. At any stage in the review process, the ERTs may put questions to, or request additional or clarifying information from, the Annex I Parties under review regarding identified issues. The ERTs should offer suggestions and advice to those Annex I Parties on how to resolve such issues, taking into account the national circumstances of the Party under review. The ERTs shall also provide technical advice to the COP or the Subsidiary Body for Implementation (SBI), upon request.

12. The Annex I Parties under review should provide the ERTs with access to the information necessary to substantiate and clarify the implementation of their commitments under the Convention, in accordance with the relevant reporting guidelines adopted by the COP, and, during in-country visits, should also provide appropriate working facilities. The Parties should make every reasonable effort to respond to all questions and requests of the ERTs for additional clarifying information.

Confidentiality

13. In response to a request from the ERT for additional data or information, or access to data used in the preparation of the GHG inventory, BR and NC reports, an Annex I Party may indicate whether such information or data are confidential. In such a case, the Party should provide the basis for protecting such information, including any domestic law, and, upon receipt of assurance that the data will be maintained as confidential by the ERT, will submit the confidential data in accordance with domestic law and in a manner that allows the ERT access to sufficient information or data for the assessment of the implementation of the commitments under the Convention by Annex I Parties and the conformity with the relevant methodological guidance as agreed by the COP. Any confidential information or data submitted by a Party in accordance with this paragraph shall be maintained as confidential by the ERT, in accordance with any decisions on this matter adopted by the COP.

14. An ERT member's obligation not to disclose confidential information and data submitted by a Party in accordance with paragraph 13 above shall continue after the termination of his or her service on the ERT.

D. Timing and procedures

1. Review of greenhouse gas inventories

15. Each GHG inventory submitted under the Convention by an Annex I Party will be subject to review, in accordance with part II and part III of these guidelines.

II. Review of biennial reports

16. Each BR submitted under the Convention by an Annex I Party will be subject to a review by an ERT, in accordance with part II and part IV of these guidelines.

17. The ERTs shall make every effort to complete the individual review of BRs within 15 months of the due date of their submission for each Annex I Party.

18. In the years when NCs and BRs are submitted together, both the NC and BR will be subject to an in-country review.

19. In the years when the BR is not reported in conjunction with the NC, the BR shall be subject to a centralized review. However, the ERT, based on the findings of the review,[1] can recommend that the next review be an in-country review and, upon a Party's request, the secretariat shall organize an in-country review for that Party.

20. The secretariat, where appropriate, may consider other UNFCCC review processes when coordinating BR and NC reviews, in particular with a view to addressing the need to improve the cost-effectiveness of the review process and national circumstances.

III. Review of national communications

21. The ERTs shall make every effort to complete the individual review of NCs within 15 months of the due date of their submission for each Annex I Party.

22. Each NC submitted under the Convention by an Annex I Party shall be subject to a scheduled in-country review by an ERT, in accordance with part II and part V of these guidelines.

23. The secretariat, where appropriate, shall consider other UNFCCC review processes when coordinating BR and NC reviews, in particular with a view to addressing the need to improve the cost-effectiveness of the review process and national circumstances.

E. Expert review teams and institutional arrangements

I. Expert review teams

24. Each submission of information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP shall be assigned to a single ERT, which shall be responsible for performing the review thereof in accordance with the procedures and time frames established in these guidelines. The submissions of an Annex I Party shall not be reviewed in two successive reviews by an ERT with identical composition.

25. Each ERT shall provide a thorough and comprehensive technical review of the information reported under the Convention related to GHG inventories, BRs and NCs and pursuant to relevant decisions of the COP and shall, under its collective responsibility, prepare a review report, assessing the implementation of the commitments of the Annex I Party and identifying any potential issues referred to in paragraphs 81 (GHG inventory section), 105 and 119 below. The ERTs shall refrain from making any political judgement.

26. The ERTs shall be coordinated by the secretariat and shall be composed of experts selected on an ad hoc basis from the UNFCCC roster of experts and shall include lead reviewers. The ERTs formed to carry out the tasks under the provisions of these guidelines may vary in size and composition, taking into account the national circumstances of the Party under review, the format of the review, the number of reports and the different needs for expertise for each review task. Additional experts may be added to a review team where necessary.

[1] The findings from the ERT are related to issues indicated in paragraph 105.

27. Participating experts shall serve in their personal capacity.

28. Experts shall be nominated by Parties to the Convention to the UNFCCC roster of experts and, as appropriate, by intergovernmental organizations.

29. Participating experts shall have recognized competence in the areas to be reviewed in accordance with these guidelines. The training to be provided to the experts, and the subsequent assessment after the completion of the training[2] and/or any other means needed to ensure the necessary competence of the experts for their participation in ERTs, shall be designed and operationalized by the secretariat in accordance with relevant decisions of the COP.

30. Experts selected for a specific review activity shall neither be nationals of the Party under review nor be nominated or funded by that Party.

31. Participating experts from Parties not included in Annex I to the Convention (non-Annex I Parties) and Annex I Parties with economies in transition shall be funded according to the existing procedures for participation in UNFCCC activities. Experts from other Annex I Parties shall be funded by their governments.

32. In conducting reviews, the ERTs shall adhere to these guidelines and work on the basis of established and published procedures agreed upon by the COP and the Subsidiary Body for Scientific and Technological Advice (SBSTA), including quality assurance (QA) and quality control (QC) and confidentiality provisions.

II. Competences of the expert review teams

33. The competences required to be a member of an ERT for the technical review of GHG inventories are in the areas referred to in paragraph 75 in part III of these guidelines.

34. The competences required to be a member of an ERT for the technical review of BRs are in the areas referred to in paragraph 104(c) in part IV of these guidelines.

35. The competences required to be a member of an ERT for the technical review of NCs are in the areas referred to in paragraph 118(c) below in part V of these guidelines.

III. Composition of the expert review teams

36. The secretariat shall select the members of the ERTs to review the GHG inventories, BRs and NCs submitted under the Convention and pursuant to relevant decisions of the COP in such a way that the collective skills and competencies of the ERTs address the areas mentioned in paragraphs 33, 34 and 35 above, respectively.

37. The secretariat shall select the members of the ERTs with a view to achieving a balance between experts from Annex I and non-Annex I Parties in the overall composition of the ERTs, without compromising the selection criteria referred to in paragraph 36 above. The secretariat shall make every effort to ensure geographical balance among the experts selected from non-Annex I Parties and among those selected from Annex I Parties.

38. The secretariat shall ensure that in any ERT one co-lead reviewer shall be from an Annex I Party and one from a non-Annex I Party.

39. Without compromising the selection criteria referred to in paragraphs 33, 34 and 35 above, the formation of ERTs should ensure, to the extent possible, that at least one member is fluent in the language of the Party under review.

[2] The experts that opt not to participate in the training have to undergo a similar assessment successfully to enable them to qualify for participation in ERTs.

40. The secretariat shall prepare an annual report to the SBSTA on the composition of ERTs, including the selection of experts for the review teams and the lead reviewers, and on the actions taken to ensure the application of the selection criteria referred to in paragraphs 36 and 37 above.

IV. Lead reviewers

41. Lead reviewers shall act as co-lead reviewers for the ERTs in accordance with these guidelines.

42. Lead reviewers should ensure that the reviews in which they participate are performed by each ERT according to the relevant review guidelines and consistently across Parties. They should also ensure the quality and objectivity of the thorough and comprehensive technical examinations in the reviews and provide for the continuity, comparability and timeliness of the reviews.

43. With the administrative support of the secretariat, lead reviewers shall, for each review:

(a) Ensure that the reviewers have all of the necessary information provided by the secretariat prior to the review;

(b) Monitor the progress of the review;

(c) Coordinate the submission of queries of the ERT to the Party under review and coordinate the inclusion of the answers in the review report;

(d) Provide technical advice to the members of the ERT, if needed;

(e) Ensure that the review is performed and the review report is prepared in accordance with these guidelines;

(f) Ensure that the ERT gives priority to issues raised in previous review reports.

44. Lead reviewers shall also collectively prepare an annual report to the SBSTA as part of the annual report referred to in paragraph 40 above, containing suggestions on how to improve the quality, efficiency and consistency of the reviews in the light of paragraph 5 above of these guidelines.

V. Ad hoc review experts

45. Ad hoc review experts shall be selected by the secretariat from those nominated by Parties or, exceptionally and only when the required expertise for the task is not available among them, from those nominated by relevant intergovernmental organizations belonging to the UNFCCC roster of experts for specific reviews. They shall perform individual review tasks in accordance with the duties set out in their nomination.

46. Review experts shall, as necessary, perform desk review tasks in their home countries and participate in in-country visits and centralized reviews.

VI. Role of the secretariat

47. The secretariat shall organize the reviews, including the preparation of a schedule for the review, the coordination of the practical arrangements concerning the review and the provision of all relevant reported information to the ERT concerned.

48. The secretariat shall develop review tools and materials and templates for review reports under the guidance of the lead reviewers.

49. The secretariat shall coordinate, together with the lead reviewers, the communication during the review between the ERT concerned and the Party under review and shall maintain a record of communications between ERTs and Parties.

50. The secretariat, together with the lead reviewers, shall compile and edit the final review reports.

51. The secretariat shall facilitate annual meetings of the lead reviewers for GHG inventories, BRs and NCs. It shall summarize information on issues raised in the reviews to facilitate the work of lead reviewers in fulfilling their task to ensure consistency in the reviews across Parties.

52. The secretariat shall design and implement training activities for review experts, including lead reviewers, and the subsequent assessment of the experts' qualifications, under the guidance of the SBSTA (see para. 29 above).

VII. Guidance provided by the Subsidiary Body for Scientific and Technological Advice

53. The SBSTA shall provide general guidance to the secretariat on the selection of experts and the coordination of the ERTs, and to the ERTs on the expert review process. The reports mentioned in paragraphs 40 and 44 above are intended to provide the SBSTA with inputs for elaborating such guidance.

F. Reporting and publication

54. The ERTs shall, under their collective responsibility, produce review reports. The review of the same information (see para. 9 above) shall be reflected in one report only. The following review reports should be produced for each Annex I Party:

(a) For the review of GHG inventories, a final report on the review of the GHG inventory, in accordance with part II and part III of these guidelines;

(b) For the review of BRs, a technical report on the review of the BR, in accordance with part II and part IV of these guidelines;

(c) For the review of NCs, a report on the review of the NC, in accordance with part II and part V of these guidelines.

55. The review reports for each Annex I Party shall follow a format and outline comparable to that set out in paragraph 56 below and shall include the specific elements described in parts III–V of these guidelines.

56. All review reports prepared by ERTs shall include the following elements:

(a) An introduction and a summary;

(b) A description of the technical review of each of the elements reviewed according to the relevant sections on the scope of the review detailed in parts III–V of these guidelines, including:

(i) A description of any potential issues identified in accordance with paragraphs 81, 105 and 119 below;

(ii) Any suggestions provided by the ERT to resolve the potential issues;

(iii) An assessment of any efforts made by the Annex I Party under review to address any potential issues identified by the ERT during the current review or during previous reviews that have not been addressed;

(iv) The sources of information used in the formulation of the final report.

57. Following their completion, all review reports shall be published and forwarded by the secretariat, together with a written comment on the final review report made by the Party under review, to the Party concerned, the COP and the subsidiary bodies, as appropriate, following these guidelines.

PART III: UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention

A. Purpose of the review

58. The purpose of the technical review of Annex I Parties' GHG inventories is:

(a) To ensure that the COP has adequate and reliable information on annual inventories and emission trends of anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol;

(b) To provide the COP with an objective, consistent, transparent, thorough and comprehensive technical assessment of the annual quantitative and qualitative inventory information submitted by Annex I Parties, and a technical assessment of the implementation of Annex I Parties' commitments under Article 4, paragraph 1(a), and Article 12, paragraph 1(a), of the Convention;

(c) To examine, in a facilitative and open manner, the reported inventory information for consistency with the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories" (decision 24/CP.19) (hereinafter referred to as the UNFCCC Annex I inventory reporting guidelines), the Intergovernmental Panel on Climate Change (IPCC) *2006 IPCC Guidelines for National Greenhouse Gas Inventories* (hereinafter referred to as the 2006 IPCC Guidelines) as implemented through the UNFCCC Annex I inventory reporting guidelines and, if applied, the *2013 Supplement to the 2006 IPCC Guidelines for National Greenhouse Gas Inventories: Wetlands* (hereinafter referred to as the Wetlands Supplement) and any additional guidance adopted by the COP;

(d) To assist Annex I Parties in improving the quality of their GHG inventories;

(e) To inform the review of BRs and NCs and to ensure that the COP has reliable information on the implementation of commitments under the Convention by each Annex I Party and Annex I Parties as a whole with a view to promoting comparability and building confidence.

B. General procedures

59. GHG inventory submissions, comprising the national inventory report (NIR) and the common reporting format (CRF) tables, from all Annex I Parties will be subject to an annual technical review.

60. The annual technical review process comprises two stages which consider different aspects of the inventories in such a way that all of the purposes described above are achieved by the end of the process. The two stages are:

(a) Initial assessment by the secretariat;

(b) Review of individual annual inventories by the ERT.

61. The stages of the technical review process complement each other so that, in general, for each Annex I Party, one stage is concluded before the next one is undertaken.

62. Three operational approaches may be used during the second stage of the technical review, namely desk reviews, centralized reviews and in-country reviews, assuming

available resources. During a desk review, the inventory information of Annex I Parties will be sent to experts, who will conduct the reviews in their own countries. During a centralized review, the experts will meet in a single location to review the inventory information of Annex I Parties. During an in-country review, experts will visit an Annex I Party to review the inventory information of that Party.

63. The review of individual inventories of Annex I Parties will be conducted annually either as a desk review, as a centralized review or as an in-country review. The GHG inventory of each Annex I Party shall be subject to a desk review at most once every three years. Desk reviews will be conducted only by experienced experts. The GHG inventory of each Annex I Party will be subject to an in-country review at least once every five years. In-country visits will be scheduled, planned and take place with the consent of, and in close coordination with, the Annex I Party subject to review. In general, during a centralized review, up to four GHG inventories should be reviewed; during a desk review up to two GHG inventories should be reviewed. In exceptional circumstances where an individual member of an ERT is unable to attend the centralized or in-country review, that member may contribute to that review from his/her desk. The scope of the individual review differs between years with desk reviews and years with centralized reviews as defined in paragraphs 75 and 76 below.

64. The ERT, based on the findings of the review,[3] can recommend that the next review be an in-country review. The ERT shall provide in the review report a rationale for the additional in-country review as well as a list of questions and issues to be addressed during the in-country review. The in-country review shall then be scheduled for the year following the review that recommended such a visit.

65. Upon an Annex I Party's request, the secretariat shall organize an in-country review for that Party. The request for an in-country review shall be submitted to the secretariat no later than the inventory submission due date.

66. At all stages of the inventory review process, individual Annex I Parties under review will have the opportunity to clarify issues or provide additional information. The secretariat will send to these Annex I Parties drafts and the final version of their status report, assessment report and their individual inventory review report. The ERT shall provide a list of preliminary main findings to the Annex I Party at the end of the review week. The ERT shall produce the final version of the review report, taking into account the comments of the Annex I Party. Every effort will be made to reach agreement with each Annex I Party on the content of a report prior to its publication. In the case of an Annex I Party and the expert team being unable to agree on an issue, the Party may provide explanatory text to be included in a separate section of the final review report. All final review reports shall be published and forwarded by the secretariat, together with any written comments on the final review report by the Annex I Party that is the subject of the report, to the COP.

C. Scope of the review

1. Initial assessment

67. The secretariat shall conduct an initial assessment annually to examine that each Annex I Party has submitted a consistent, complete and timely annual inventory in the correct format, including the NIR and the CRF tables, and to identify issues for further consideration during the review of individual inventories.

68. The checks will include a standardized set of data comparisons mainly based on the CRF data and identify:

[3] The findings from the ERT are related to issues as defined in paragraph 81 below.

(a) Whether an Annex I Party has submitted an annual inventory or the NIR or the CRF tables by the due date, or within six weeks of the due date;

(b) Whether the submission is complete in terms of whether an NIR and all CRF tables were submitted;

(c) Whether all required sources, sinks and gases[a] included in the UNFCCC Annex I inventory reporting guidelines as well as any additional guidance adopted by the COP are reported and if any additional gases or sources have been reported;

(d) Whether all CRF tables have been completed and any gaps have been explained in the CRF tables by the use of notation keys (such as "C", "IE", "NA", "NE", "NO");[b]

(e) Whether emission estimates are provided for all required years;

(f) Whether methodologies are indicated with notations in the CRF tables;

(g) Whether estimates for CO_2 emissions from fossil fuel combustion are reported using the IPCC reference approach in addition to estimates derived using a sectoral approach;

(h) Whether emission estimates for hydrofluorocarbons and perfluorocarbons are reported by individual chemical species;

(i) Whether any recalculations are reported for the entire time series and explanatory information relating to these recalculations is provided in the NIR;

(j) Whether emissions from fuel used in international transportation are reported separately from national totals;

(k) Whether key categories have been reported in the NIR and whether the results are consistent with those automatically reported in the CRF tables;

(l) Whether the tables on uncertainties have been reported;

69. The initial assessment will cover the national inventory submission and previous national inventory submissions, where relevant, and will also:

(a) Identify whether there are any irregularities or inconsistencies in implied emission factors and other inventory data, including emission or removal estimates and activity data, across Annex I Parties and compared with data of previous years or from previous submissions;

(b) Identify whether there are irregularities in activity data compared with activity data from other relevant authoritative sources, if available, taking into account the conclusions of the meeting of the lead reviewers for GHG inventories and agreed by the SBSTA;

(c) Identify whether there are issues within source or sink categories requiring further consideration or clarification during the individual review stage, particularly

[a] In part III "UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention" of the present guidelines, required sources, sinks and gases are those sources, sinks and gases referred to in a provision with a "shall" in the UNFCCC Annex I inventory reporting guidelines.

[b] C = confidential, IE = included elsewhere, NA = not applicable, NE = not estimated, NO = not occurring.

recurring issues, taking into account responses from previous reviews or recommendations provided in previous reviews;

(d) Examine inventory recalculations and the consistency of the time series;

(e) Identify whether there are any inconsistencies between the information in the CRF tables and related information in the NIR.

70. The secretariat shall compare any findings from the initial assessment specific to individual Annex I Parties with findings and responses from Parties from previous reviews. For this purpose, a communication tool with findings and responses from Annex I Parties should be developed and maintained that registers findings from the initial assessment and questions from ERTs together with responses from Parties over time. The ERTs should have access to past exchanges between Annex I Parties and reviewers via this tool.

71. The secretariat shall immediately notify the Annex I Party concerned of any omissions or issues identified with a Party's submission that prevent the performance of the initial assessment.

II. Review of individual annual inventories

72. ERTs, coordinated by the secretariat, shall conduct reviews of individual GHG inventories in order to assess whether the COP has accurate, consistent and relevant information on annual GHG inventories. The individual reviews will be conducted in accordance with paragraphs 75 and 76 below. The individual inventory review shall cover each Annex I Party's national inventory, supplementary material submitted by the Party and, if necessary for the review of recalculations and inventory improvements, previous inventory submissions.

73. ERTs shall pay particular attention to key categories, those areas of the inventory where issues have been identified and recommendations made in previous reviews, or stages of the review, progress in the implementation of the planned improvements, or where recalculations or other changes have been reported by the Annex I Party. Focus should be given to issues that have an impact on the level and/or trend of total national GHG emissions and removals, taking into account national circumstances, as appropriate. The Party may respond to an ERT identification of an issue with information about the amount of effort and resources required for an improvement relative to the impact on the level and/or trend of total national GHG emissions or removals for consideration by the ERT. ERTs should not perform an individual review in cases where an NIR has not been provided.

74. In addition to the tasks mentioned in paragraph 75 below, ERTs conducting in-country reviews will consider the 'paper trail' of the inventory from the collection of data to the reported emission estimates and will examine procedures and institutional arrangements for inventory development and management, including QA and QC, record-keeping and documentation procedures. During subsequent centralized reviews, the ERTs will identify any changes that may have occurred in these procedures and institutional arrangements, based on the information provided in the NIRs of Annex I Parties and further information from the Parties provided to the ERT.

75. Each ERT shall for centralized and in-country reviews:

(a) Examine application of the requirements of the UNFCCC Annex I inventory reporting guidelines and any further guidance adopted by the COP, and, if applied, the Wetlands Supplement, and identify any departure from these requirements;

(b) Examine whether the 2006 IPCC Guidelines as implemented through the UNFCCC Annex I inventory reporting guidelines and any supplementary methodologies adopted by the COP and, if applied, the Wetlands Supplement was applied and

documented, in particular noting the identification of key categories, selection and use of methodologies and assumptions, development and selection of emission factors, collection and selection of activity data, reporting of recalculations and consistent time series, reporting of uncertainties related to inventory estimates, methodologies used for estimating those uncertainties and QA/QC procedures, and identify any inconsistencies;

(c) Compare emission or removal estimates, activity data, implied emission factors and any recalculations with data from previous submissions of the Annex I Party to identify any irregularities or inconsistencies;

(d) Identify any missing categories and examine any explanatory information relating to their exclusion from the GHG inventory;

(e) Assess the consistency of information in the CRF tables with that in the NIR;

(f) Assess the extent to which issues raised in the initial assessment of annual inventories, and issues and questions raised by ERTs in previous reports, have been addressed and resolved. The ERT shall assess information on changes in response to recommendations from the previous ERT, which may include the progress made in implementing improvements taking into consideration the publication date of the previous review report and national circumstances;

(g) Where applicable, identify areas for further improvement of the inventories taking into account, inter alia, paragraph 73 above and note possible ways for improving the estimation and the reporting of inventory information;

(h) Assess whether the national inventory arrangements for the estimation of anthropogenic GHG emissions by sources and removals by sinks are performing the required functions and facilitating the continuous improvement of the GHG inventory;

(i) Whether all emissions are reported without corrections relating, for example, to climate variations or trade of electricity.

76. During desk reviews, the ERT shall prioritize addressing the following tasks and should address the elements in paragraph 75 above for key categories:

(a) Assess the extent to which issues raised in the initial assessment of annual inventories, and issues and questions raised by ERTs in previous reports, have been addressed and resolved. The ERT shall assess information on changes in response to recommendations from the previous ERT, which may include the progress made in implementing improvements taking into consideration the publication date of the previous review report and national circumstances;

(b) Analyse any recalculations that have changed the emission/removal estimate for a category by more than 2 per cent and/or national total emissions by more than 0.5 per cent as provided in the CRF tables for any of the recalculated years and assess the reasons provided by the Annex I Party for the recalculations and improvements performed as well as the consistency of the revised estimates with the 2006 IPCC Guidelines as implemented through the UNFCCC Annex I inventory reporting guidelines.

77. The ERT may compare the activity data of the Annex I Party with relevant authoritative sources taking into account the conclusions of the meeting of the lead reviewers for GHG inventories and agreed by the SBSTA, if feasible, and identify if there are significant differences which have not been explained by the Party. In cases where significant differences between the data sources are identified, the ERT shall provide the Annex I Party with the data used to make its assessment where it is possible to do so. Recommendations based on the outcome of the data comparison should not appear in the review report in cases where it is not possible to provide the Party with the data.

78. The secretariat shall support the individual review with the development of review tools and materials that support the tasks of the ERTs in order to improve the efficiency and consistency of the reviews. Such tools and materials shall be periodically revised and updated taking into account the needs of the review process. New and revised tools and materials shall be presented and discussed at the meetings of lead reviewers for GHG inventories and shall also be presented in the annual report on the technical review of GHG inventories from Annex I Parties and shall be made available to Parties upon request. The meeting of lead reviewers should discuss which review tools should also be made available to the general public and make recommendations in this regard to the SBSTA.

79. If an Annex I Party fails to provide the ERT with responses to the questions raised and does not provide the data and information necessary for the assessment of conformity with the UNFCCC Annex I inventory reporting guidelines and any further guidance adopted by the COP, the ERT shall assume that the reporting was not prepared in accordance with the UNFCCC Annex I inventory reporting guidelines and any further guidance adopted by the COP and clearly identify such cases in the review report.

III. Identification of issues

80. The individual inventory review shall identify any issues related to adherence to the UNFCCC Annex I inventory reporting guidelines.

81. Issues will be identified as a failure to follow the requirements[a] and definitions in the UNFCCC Annex I inventory reporting guidelines. Issues will also be identified as failure to follow general IPCC good practice for any other category that the Party included in its national estimates in accordance with the UNFCCC Annex I inventory reporting guidelines. These may be further subdivided as issues of:

(a) Transparency;

(b) Consistency;

(c) Comparability, including failure to use agreed reporting formats;

(d) Completeness;

(e) Accuracy;

(f) Adherence to the UNFCCC Annex I inventory reporting guidelines.

82. In assessing completeness, when a category has been reported as not estimated based on it being insignificant, the ERT shall assess if the information reported by the Annex I Party meets the criteria set out in paragraph 37(b) of the UNFCCC Annex I inventory reporting guidelines.

83. The ERT will identify issues, in particular those relating to accuracy and completeness for key categories as described in paragraph 73 above, missing categories as described in paragraph 75(d) above, or potential key categories as identified by the ERT and that could not be clarified with the Party during the review week. In the case where, after such an issue has been identified in three successive reviews, in accordance with paragraphs 75(f) and 76(a) above, and has not been addressed by the Party, the ERT will include a prominent paragraph in the review report noting the issue, the number of successive reviews in which the Party has been notified of the issue, and that the Party has not addressed the issue.

[a] In Part III "UNFCCC guidelines for the technical review of greenhouse gas inventories from Parties included in Annex I to the Convention" of the present guidelines, a requirement refers to a provision with a "shall" in the UNFCCC Annex I inventory reporting guidelines.

84. All main issues which are identified by the ERT in relation to requirements in the UNFCCC Annex I inventory reporting guidelines, including any issues described in paragraph 83 above, should be summarized by the ERT in the list of provisional main findings. The provisional main findings shall be communicated to the Annex I Party at the end of the week in which the individual review is performed. The Party may provide further clarifications related to the provisional main findings within two weeks. Any provisional main findings should, as appropriate, form the basis for the recommendations in the review report.

D. Timing

I. Initial assessment

85. The secretariat will complete the initial assessment in accordance with paragraph 68 above and should prepare a draft status report within three weeks after the submission date of the annual GHG inventory and send it to the Annex I Party for comments. Each Annex I Party should provide comments on the draft status report within three weeks of its receipt by the Party.

86. The secretariat will complete the initial assessment containing the elements in paragraph 69 above. The secretariat will incorporate all submissions and any resubmissions from Annex I Parties that were provided as a response to the status report and were received within six weeks from the due date for submissions. Annex I Parties should provide comments within three weeks of receipt of the draft assessment report. The secretariat will send a draft of the assessment report to the Annex I Party at the latest seven weeks prior to the scheduled individual review, and the Party will provide comments within three weeks. The assessment report and the Annex I Party's comments will be forwarded to the ERT as input for the individual review.

87. Any information, corrections, additional information or comments on the draft status report received from the Annex I Party within six weeks of the submission due date shall be subject to the initial assessment. A delay in the submission of the annual inventory shortens the time available for the Annex I Party concerned to comment on the draft status report.

II. Review of individual annual inventories

88. The secretariat should forward all relevant information to the members of the ERTs one month prior to the start of the review of the individual annual inventories. The ERT shall examine the information and raise questions for clarification to Annex I Parties under review, if necessary, two weeks prior to the start of the review. Annex I Parties should make all efforts to respond promptly to the questions received.

89. To achieve consistent review reports and a comparable treatment of Annex I Parties in the review process, the secretariat shall implement QA procedures. The QA procedures developed by the secretariat should be presented to and discussed at the meeting of the lead reviewers for GHG inventories. The purpose of the QA procedures is to ensure a consistent identification and treatment of issues. Editorial streamlining should take place only to the extent that the timelines for publication of the review reports are not compromised.

90. Each review should be completed within 20 weeks. In general, the timetable for the individual review activities, assuming available resources, should conform to the following:

(a) Each ERT performs an individual review and prepares a draft review report for each Party under review, within six weeks after the end of the review week;

(b) The secretariat applies QA/QC procedures, edits and formats the draft reports within four weeks and sends them to the respective Annex I Parties for comments;

(c) The Annex I Parties respond within four weeks;

(d) The ERT shall produce the final version of the annual review report, taking into account the comments of the Annex I Party, within four weeks[7] of receipt of the comments;

(e) All final review reports, together with any written comments on the final review report by the Annex I Party that is the subject of the report, shall be published on the UNFCCC website within two weeks and forwarded by the secretariat to the COP.

E. Reporting

I. Status report

91. The results of the initial assessment for each Annex I Party will be published on the UNFCCC website as a status report, mainly in tabular format. The status report will:

(a) Indicate the date of receipt of the GHG inventory submission by the secretariat;

(b) Determine whether the submission is complete and identify any gaps in the reported data, covering the elements listed in paragraph 68 above.

II. Assessment report

92. The results of the initial assessment, as described in paragraph 69 above, containing a preliminary analysis of individual Annex I Party inventories, will be sent to the respective Party for comments. The results, together with the comments provided by the respective Party, will be provided to the corresponding ERT as input for the individual review.

93. The assessment report for each individual inventory will contain the results of the checks described in paragraph 69 above.

III. Individual review reports

94. Under its collective responsibility, the ERT will produce an individual inventory review report for publication in electronic format on the UNFCCC website based on the results of the tasks listed in paragraphs 75 and 76 above. The review reports should contain an objective assessment of the adherence of the inventory information to the UNFCCC Annex I inventory reporting guidelines and the provisions of relevant COP decisions, and should not contain any political judgement. The review report shall, as appropriate, also contain recommendations and encouragements from the ERT regarding ways in which the Annex I Party can improve the quality of its inventory.

95. The following specific elements shall be included in the individual review report:

(a) A summary of the results of the inventory review and a general assessment of the inventory;

(b) A technical review of the elements specified in paragraphs 75 and 76 above;

(c) An identification of issues in accordance with paragraphs 81, 82 and 83 above, as appropriate;

(d) An assessment of the overall organization of the national inventory arrangements, including a discussion on the effectiveness and reliability of the institutional, procedural and legal arrangements for estimating GHG emissions.

96. The review reports should not extensively duplicate information already publically available, for example, through the CRF tables and NIRs reported by Annex I Parties.

[7] Four weeks or 20 working days if the Party has a public holiday occurring within the four-week time frame.

97. The report should include standardized tables whenever possible, to increase the efficiency of communication. To the extent possible, the text of the report should not duplicate the information in the tables. The status of implementation of previous review recommendations should be listed in one of these standardized tables.

98. The report of all reviews shall be as concise as possible and the ERT shall make every effort that the report does not exceed 30 pages, including a 2–3 page summary.

PART IV: UNFCCC guidelines for the technical review of biennial reports from Parties included in Annex I to the Convention

A. Purpose of the review

99. The technical review of BRs is the first step of the international assessment and review (IAR) process. The overall objectives of the IAR process are to review the progress made by developed country Parties in achieving emission reductions and to assess the provision of financial, technological and capacity-building support to developing country Parties, as well as to assess emissions and removals related to quantified economy-wide emission reduction targets under the SBI, taking into account national circumstances, in a rigorous, robust and transparent manner, with a view to promoting comparability and building confidence. In addition, the IAR process aims at assessing the implementation of methodological and reporting requirements.

100. The purposes of the technical review of BRs from Annex I Parties are the following:

(a) To provide a thorough and comprehensive technical review of the parts of BRs that are not otherwise covered in the annual GHG inventory review;

(b) Taking into account paragraph 100(a) above, to examine in an objective and transparent manner whether quantitative and qualitative information was submitted by Annex I Parties in accordance with the "UNFCCC biennial reporting guidelines for developed country Parties" adopted by the COP;[*]

(c) To promote consistency of the information contained in BRs submitted by Annex I Parties;

(d) To assist Annex I Parties in improving their reporting of information and the implementation of their commitments under the Convention;

(e) To undertake an examination of the Party's progress in achieving its economy-wide emission reduction target.

(f) To ensure that the COP has reliable information on the implementation of commitments under the Convention by each Annex I Party with a view to promoting comparability and building confidence.

B. General procedures

101. Each Annex I Party's BR will be reviewed. A Party's BR shall be reviewed in conjunction with its NC in the years in which both the BR and the NC are submitted.

102. Prior to the review, as part of its preparation, the ERT shall conduct a desk review of the BR of the Annex I Party under review. The ERT, through the secretariat, shall notify the Party concerned of any questions the team has regarding the information provided in the BR and of any focal areas for the review.

103. The output of the technical review will be a technical review report, building on existing reporting standards and including an examination of the Party's progress in achieving its economy-wide emission reduction target.

[*] Decision 2/CP.17, annex I, decision 19/CP.18.

C. Scope of the review

104. The individual review will:

(a) Provide an assessment of the completeness of the BR, in accordance with the reporting requirements contained in decisions 2/CP.17 and 19/CP.18, and an indication of whether it was submitted on time;

(b) Examine the consistency of the BR with the annual GHG inventory and NC but it will not include in-depth examination of the inventory itself;

(c) Undertake a detailed technical examination of only those parts of the BR that are not included in the annual GHG inventory review, including the following:

(i) All emissions and removals related to the Party's quantified economy-wide emission reduction target;

(ii) Assumptions, conditions and methodologies related to the attainment of the Party's quantified economy-wide emission reduction target;

(iii) Progress the Party has made towards the achievement of its quantified economy-wide emission reduction target;

(iv) The Party's provision of financial, technological and capacity-building support to developing country Parties;

(d) In the years in which an NC is submitted at the same time as the BR, serve as part of the review of the NC, where there is an overlap between the content of the BR and that of the NC.

Identification of issues

105. The issues identified during the technical review of individual sections of the BR shall be identified as relating to the following:

(a) Transparency;

(b) Completeness;

(c) Timeliness;

(d) Adherence to the biennial report reporting guidelines as per decision 2/CP.17.

D. Timing

106. If an Annex I Party expects difficulties with the timeliness of its BR submission by the due date, it should inform the secretariat thereof by the due date of the submission, to the extent possible, in order to facilitate the arrangements of the review process.

107. The ERTs shall make every effort to complete the individual review of BRs within 15 months of the due date of their submission for each Annex I Party.

108. If additional information is requested during the review week, the Annex I Party should make every reasonable effort to provide the information within two weeks after the review week.

109. The ERT for the review of the BR of each Annex I Party shall, under its collective responsibility, produce a draft technical review report following the format detailed in paragraph 112 below, to be finalized within eight weeks after the review week.

110. The draft technical review report of each BR shall be sent to the Annex I Party subject to the review for comment. The Party concerned shall be given four weeks[a] from its receipt of the draft report to provide comments thereon.

111. The ERT shall produce the final version of the BR technical review report, taking into account the comments of the Annex I Party within four weeks of receipt of the comments. All final review reports shall be published and forwarded by the secretariat, together with any written comments on the final review report by the Party that is the subject of the report, to the COP.

E. Reporting

112. The following specific elements shall be included in the technical review report referred to in paragraph 54(b) above:

(a) The results of the technical examination of the elements specified in paragraph 104(c) above, including an examination of the Party's progress in achieving its economy-wide emission reduction target;

(b) An identification of issues in accordance with paragraph 105 above.

PART V: UNFCCC guidelines for the technical review of national communications from Parties included in Annex I to the Convention

A. Purpose

113. The purposes of the review of NCs from Annex I Parties are the following:

(a) To establish a process for a thorough and comprehensive technical review of the implementation of the commitments under the Convention by individual Annex I Parties and Annex I Parties as a group;

(b) Taking into account paragraph 113(a) above, to examine in an objective and transparent manner whether quantitative and qualitative information was submitted by Annex I Parties in accordance with the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications" adopted by the COP;

(c) To promote consistency of the information contained in the NCs of Annex I Parties;

(d) To assist Annex I Parties in improving their reporting of information under Article 12 of the Convention and the implementation of their commitments under the Convention;

(e) To ensure that the COP has reliable information on the implementation of commitments under the Convention by each Annex I Party and Annex I Parties as a whole.

B. General procedures

114. Each Annex I Party's NC will be reviewed, where relevant in conjunction with the review of the BR.

115. Each NC submitted under the Convention by an Annex I Party shall be subject to an in-country review.

116. Annex I Parties with total GHG emissions of less than 50 Mt CO_2 eq (excluding land use, land-use change and forestry) in accordance with their most recent GHG inventory

[a] Four weeks or 20 working days if the Party has a public holiday occurring within the four-week time frame.

submission, with the exception of Parties included in Annex II to the Convention, may choose to undergo a centralized review for their NCs.

117. Prior to the review, the ERT shall conduct a desk review of the NC of the Annex I Party under review. The ERT, through the secretariat, shall notify the Party concerned of any questions the team has regarding the NC and of any focal areas for the review.

C. Scope of the review

118. The individual review will, noting paragraph 9 above:

(a) Provide an assessment of the completeness of the NC in accordance with the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications" adopted by the COP, and an indication of whether it was submitted on time;

(b) Check the consistency of information contained in the NC with that contained in the BR and GHG inventory. If the same information is reported elsewhere, the information should be reviewed only once;

(c) Undertake a detailed technical examination of the unique information contained in the NC and the procedures and methodologies used for the preparation of the information therein, noting that the outline of the NC is included in the list below:

(i) National circumstances relevant to GHG emissions and removals;

(ii) GHG inventory information;

(iii) Policies and measures;

(iv) Projections and the total effect of policies and measures;

(v) Vulnerability assessment, climate change impacts and adaptation measures;

(vi) Financial resources;

(vii) Transfer of technology;

(viii) Research and systematic observation;[10]

(ix) Education, training and public awareness;

(d) Giving consideration to national circumstances, identify any potential issues referred to in paragraph 119 below.

Identification of issues

119. The issues identified during the technical review of individual sections of the NC shall be identified as relating to the following:

(a) Transparency;

(b) Completeness;

(c) Timeliness;

(d) Adherence to the NC reporting guidelines as per decision 4/CP.5.

[10] Information provided under this heading includes a summary of the information provided on global climate observing systems.

D. Timing

120. If an Annex I Party expects difficulties with the timeliness of its NC submission by the due date, it should inform the secretariat thereof by the due date of the submission, to the extent possible, in order to facilitate the arrangements of the review process.

121. The ERTs shall make every effort to complete the individual review of NCs within 15 months of the due date of their submission for each Annex I Party.

122. If additional information is requested during the review week, the Annex I Party should make every reasonable effort to provide the information within two weeks after the review week.

123. The ERT for the review of the NC of each Annex I Party shall, under its collective responsibility, produce a draft of the review report following the format detailed in paragraph 126 below, to be finalized within eight weeks after the review week.

124. The draft of each NC review report shall be sent to the Annex I Party subject to the review for comment. The Party concerned shall be given four weeks[11] from its receipt of the draft report to provide comments thereon.

125. The ERT shall produce the final version of the NC review report, taking into account the comments of the Annex I Party within four weeks of receipt of the comments. All final review reports shall be published and forwarded by the secretariat, together with any written comments on the final review report by the Party that is the subject of the report, to the COP.

E. Reporting

126. The following specific elements shall be included in the report referred to in paragraph 54(e) above:

(a) A technical review of the elements specified in paragraph 118(c) above;

(b) An identification of issues in accordance with paragraphs 118(d) and 119 above.

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[11] Four weeks or 20 working days if the Party has a public holiday occurring within the four-week time frame.

Decision 14/CP.20

Training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling Articles 4, 7 and 12 of the Convention,

Also recalling decisions 19/CP.8, 12/CP.9 and 10/CP.15,

Further recalling decisions 1/CP.16 and 2/CP.17, which established a work programme under the Subsidiary Body for Scientific and Technological Advice for the revision of the guidelines for the review of biennial reports and national communications, including national inventory reviews,

Recalling decision 24/CP.19, by which the revised "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories" were adopted and decision 13/CP.20, by which the "Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention" were adopted,

Having considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice,

Recognizing the importance of the training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention,

1. *Requests* the secretariat to implement the training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention, as outlined in the annex, including the examination of experts, and to give priority to organizing an annual training seminar for the basic course;

2. *Encourages* Parties included in Annex I to the Convention in a position to do so to provide financial support for the implementation of the training programme;

3. *Requests* the secretariat to include, in its annual report to the Subsidiary Body for Scientific and Technological Advice on the composition of expert review teams, information on the training programme, in particular on examination procedures and the selection of trainees and instructors, in order for Parties to assess the effectiveness of the programme.

Annex

Training programme for review experts for the technical review of greenhouse gas inventories of Parties included in Annex I to the Convention

A. Details of the training programme

1. The courses are intended to train review experts for the technical review of information reported under the Convention related to greenhouse gas (GHG) inventories by Parties included in Annex I to the Convention. All training courses will be available online. For trainees without easy access to the Internet, courses will be distributed electronically; for courses facilitated by instructors, trainees will communicate electronically with the instructor during the training period. At the request of any Party, the training courses will also be made available to other experts interested in the technical review of GHG inventories, provided that this does not require additional resources. All courses will be available upon request to trainees all year round, without facilitation by instructors.

2. A closing seminar for the basic course of the training programme will be offered annually for around 30 participants (new review experts for the technical review of GHG inventories).

3. Additional regional training seminars for new review experts for the technical review of GHG inventories and a refresher seminar for experienced review experts for the technical review of GHG inventories may be offered annually, depending on the availability of resources. The refresher seminars may be offered in conjunction with meetings of lead reviewers, in order to enhance their knowledge and that of other experienced review experts for the technical review of GHG inventories.

4. All training courses will include an examination. Examination procedures will be standardized, objective and transparent.

5. When participants attend a training seminar, the examination will generally take place during that seminar. In all other circumstances, other arrangements for examinations will be made, provided that the examinations take place under the supervision of the secretariat and that no additional resources are required. For courses without a training seminar, the examination will take place online.

6. New review experts for the technical review of GHG inventories who successfully complete the relevant requirements of the training programme and pass the examinations will be invited to participate in centralized or in-country reviews, working alongside experienced review experts.

7. New review experts who do not pass a course examination at the first attempt may retake the examination once only, provided that the expert has fulfilled all of the tasks assigned during the training course in a timely manner and that the retake does not require the secretariat to incur additional costs.

8. Experienced review experts for the technical review of GHG inventories will be invited to take the online training courses. Examinations are not mandatory for experienced review experts but are encouraged, and may take place in conjunction with meetings of lead reviewers.

9. Experienced review experts with relevant GHG inventory reporting and review expertise will be invited to act as instructors for relevant courses of the training programme, ensuring that their collective skills cover the subjects addressed in each course. The secretariat will seek to achieve a geographical balance among the instructors participating in the training programme.

10. When selecting new review experts to attend training courses facilitated by instructors, the secretariat will give priority to review experts with relevant GHG inventory reporting expertise, nominated to the UNFCCC roster of experts, from Parties that do not have review experts who have previously participated in review activities.

B. Courses of the training programme

1. Basic course for the review of greenhouse gas inventories of Parties included in Annex I to the Convention

Description: This course covers a comprehensive introduction to the "Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention", an overview of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories", guidance on procedures and approaches for the technical review of GHG inventories and general Intergovernmental Panel on Climate Change (IPCC) inventory guidance (*2006 IPCC Guidelines for National Greenhouse Gas Inventories*), as well as specific aspects of the review of the following IPCC sectors: energy; industrial processes and product use; agriculture; land use, land-use change and forestry; and waste. This course also provides guidance on drafting substantive review reports that are consistent among review teams and reader friendly.
Preparation: 2015
Implementation: 2015–2016
Target audience: New and experienced review experts for the technical review of GHG inventories
Type of course: E-learning, facilitated by instructors, with a closing seminar
Examination requirements and format: New review experts for the technical review of GHG inventories must pass the general examination as well as a sectoral examination before participating in expert review teams. Lead reviewers and experienced review experts for the technical review of GHG inventories are encouraged to take the examinations. The examinations will be conducted in person.

2. Review of complex models and higher-tier methods

Description: This course provides general guidance and procedures, as well as guidance on specific aspects of the review of emission estimations performed using complex models and higher-tier methods (tier 3 methods).
Preparation: 2010
Implementation: 2014–2016
Target audience: Lead reviewers and review experts for the technical review of GHG inventories
Type of course: E-learning, without an instructor
Examination requirements and format: Optional; self-check electronic examination

3. **Improving communication and facilitating consensus in expert review teams**

Description: This course provides guidance and tools to improve the work of expert review teams and to facilitate teamwork.
Preparation: 2003
Implementation: 2014–2016
Target audience: Lead reviewers and review experts for the technical review of GHG inventories.
Type of course: E-learning, without an instructor
Examination requirements and format: Optional; self-check electronic examination

C. Refresher seminar for experienced greenhouse gas inventory review experts

Description: This annual seminar provides general guidance on specific and complex aspects of the technical review of GHG emission estimates. It enables experienced review experts for the technical review of GHG inventories to strengthen and refresh their knowledge, in relation to both cross-cutting aspects and sector-specific issues.
Implementation: 2014–2016, subject to the availability of resources
Target audience: Lead reviewers and experienced review experts for the technical review of GHG inventories

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Decision 15/CP.20

Training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling Articles 4, 7 and 12 of the Convention and decisions 2/CP.1, 9/CP.2, 6/CP.3, 4/CP.5, 33/CP.7, 18/CP.10, 1/CP.13, 2/CP.17 and 19/CP.18, on national communications and biennial reports,

Also recalling decision 23/CP.19, on the guidelines for the review of biennial reports and national communications, including national inventory reviews,

Having considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice,

Recognizing the importance of the training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention,

1. *Requests* the secretariat to develop and implement the training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention, including the examination of experts, as outlined in the annex;

2. *Encourages* Parties included in Annex I to the Convention in a position to do so to provide financial support for the implementation of the training programme;

3. *Requests* the secretariat to include, in its annual report to the Subsidiary Body for Scientific and Technological Advice on the composition of expert review teams, information on the training programme, in particular on examination procedures and the selection of trainees, so that Parties may assess the effectiveness of the programme.

Annex

Training programme for review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention

A. Details of the training programme

1. The courses are intended to train review experts for the technical review of biennial reports and national communications of Parties included in Annex I to the Convention. All training courses will be available online. For trainees without easy access to the Internet, courses will be distributed through electronic means. At the request of any Party, the courses will also be made available to others interested in the review process, provided that this does not require additional resources. All courses will be available upon request to trainees all year round, without facilitation by instructors.

2. All training courses will include an examination. Examination procedures will be standardized, objective and transparent.

3. The examination will take place online. In exceptional circumstances, other arrangements for examinations will be made, provided that the examinations take place under the supervision of the secretariat and that this does not require additional resources.

4. New review experts who successfully complete the relevant requirements of the training programme and pass the examinations will be invited to participate in a centralized or in-country review, working alongside experienced review experts.

5. Experts who do not pass an examination for a course at the first attempt may retake the examination once only, provided that the expert has fulfilled all of the tasks assigned during the training course in a timely manner and that the retake does not require the secretariat to incur additional costs.

B. Courses of the training programme

1. General and cross-cutting aspects of the review of national communications and biennial reports

Description: This course covers the reporting requirements and the procedures for the general aspects of the review process of national communications and biennial reports under the Convention, and aims to provide a comprehensive overview of the reporting and review requirements and guidance to expert review teams on the process and steps for conducting reviews under the international assessment and review process. The course promotes consistency and fairness in the review process by providing technical guidance on the general review approaches and use of tools.
Preparation: 2014
Implementation: 2014–2016
Target audience: New review experts and lead reviewers
Type of course: E-learning, without an instructor
Examination requirements and format: New review experts and lead reviewers must pass the examination before participating in expert review teams. Online examination.

2. **Technical review of targets and of policies and measures, their effects and their contribution to achieving those targets**

Description: This course provides general guidance and approaches for the technical review of information on national policy context and greenhouse gas (GHG) mitigation targets, policies and measures (PaMs), the effects of each individual PaM and their contribution to the reduction of GHG emissions.
Preparation: 2014
Implementation: 2014–2016
Target audience: New review experts reviewing targets and PaMs, and lead reviewers
Type of course: E-learning, without an instructor
Examination requirements and format: New review experts must pass the examination before participating in expert review teams. Online examination.

3. **Technical review of greenhouse gas emissions, emission trends, projections and the total effect of policies and measures**

Description: This course provides general guidance and approaches for the technical review of information on GHG emissions, emission trends, projections and the total effect of PaMs.
Preparation: 2014
Implementation: 2014–2016
Target audience: New review experts reviewing emission trends, projections and the total effect of PaMs, and lead reviewers
Type of course: E-learning, without an instructor
Examination requirements and format: New review experts must pass the examination before participating in expert review teams. Online examination.

4. **Technical review of the provision of financial support, technology transfer and capacity-building**

Description: This course provides general guidance and approaches for the technical review of information on the provision of financial resources by Parties included in Annex II to the Convention to Parties not included in Annex I to the Convention, the promotion, facilitation and financing of the transfer of technology, and capacity-building, including creating national expertise on climate change related issues, strengthening institutions and developing educational, training and awareness-raising activities.
Preparation: 2014
Implementation: 2014–2016
Target audience: New review experts reviewing the provision of financial support, technology transfer and capacity-building, and lead reviewers
Type of course: E-learning, without an instructor
Examination requirements and format: New review experts must pass the examination before participating in expert review teams. Online examination.

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Decision 16/CP.20

Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013

The Conference of the Parties,

Recalling decisions 1/CP.16, 2/CP.17, 4/CP.17, 1/CP.18, 13/CP.18, 14/CP.18 and 25/CP.19,

Also recalling decisions 13/CP.18, paragraph 8, and 14/CP.18, paragraph 11,

1. *Welcomes* the joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013,[1] and the work these bodies undertook in 2013 to facilitate the effective implementation of the Technology Mechanism;

Activities and performance of the Technology Executive Committee in 2013

2. *Also welcomes* the effective implementation of the rolling workplan of the Technology Executive Committee for 2012–2013 and the key messages contained in the report referred to in paragraph 1 above;

3. *Adopts* the modalities of the Technology Executive Committee on linkages with other relevant institutional arrangements under and outside of the Convention contained in the annex to the report referred to in paragraph 1 above, with a view to promoting coherence and cooperation across technology activities under and outside of the Convention;[2]

Activities and performance of the Climate Technology Centre and Network in 2013

4. *Welcomes* the progress made by the United Nations Environment Programme, as the host of the Climate Technology Centre, in making the arrangements necessary for the full operationalization of the Climate Technology Centre and Network in 2013;

5. *Also welcomes* the timely completion of the mandated activities of the Advisory Board of the Climate Technology Centre and Network in 2013, which provided the necessary means for the Climate Technology Centre and Network to receive and respond to requests from developing country Parties in accordance with decision 1/CP.16, paragraph 123;

6. *Urges* Parties that have not yet nominated their national designated entity to promptly communicate their nomination to the secretariat through their national focal point;

7. *Invites* developing country Parties to submit requests, through their national designated entity, to the Climate Technology Centre and Network in accordance with decision 1/CP.16, paragraph 123;

8. *Acknowledges* with appreciation the financial support provided by Parties for the activities of the Climate Technology Centre and the mobilization of the services of the Network.

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[1] FCCC/SB/2013/1.

[2] The text in the annex to the report referred to in paragraph 1 above will replace chapters V and VI of the modalities of the Technology Executive Committee adopted by decision 4/CP.17.

Decision 17/CP.20

Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014

The Conference of the Parties,

Recalling decisions 1/CP.16, 2/CP.17, 4/CP.17, 1/CP.18, 13/CP.18, 14/CP.18 and 25/CP.19,

Also recalling decision 1/CP.16, paragraph 126,

1. *Welcomes with appreciation* the joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014[1] and its joint key messages;

2. *Notes* that through the work of these bodies in 2014 the Technology Mechanism is progressing in an effective manner towards fulfilling its mandate as provided for in the Cancun Agreements and the Durban Outcomes;

3. *Notes with appreciation* the collaboration between the Technology Executive Committee and the Climate Technology Centre and Network, and encourages them to continue collaborating to enhance coherence and synergy in the work of the Technology Mechanism;

4. *Decides* that the Technology Executive Committee and the Climate Technology Centre and Network shall continue to prepare a joint annual report to the Conference of the Parties, through the subsidiary bodies, on their respective activities and the performance of their respective functions;

Activities and performance of the Technology Executive Committee in 2014

5. *Welcomes* the rolling workplan of the Technology Executive Committee for 2014–2015[2] and the progress made by the Committee in advancing the implementation of the workplan;

6. *Recognizes* the key messages of the Technology Executive Committee on climate technology financing, technologies for adaptation and technology needs assessments, as contained in the report referred to in paragraph 1 above;

7. *Welcomes* the work of the Technology Executive Committee in 2014 on technologies for adaptation, including the TEC Briefs on technologies for adaptation in the agriculture and water sectors, and looks forward to the Committee's work on technologies for mitigation as part of the implementation of its rolling workplan for 2014–2015;

8. *Notes* that the Technology Executive Committee held a workshop on national systems of innovation in October 2014, and requests the Technology Executive Committee to continue its work on enabling environments and barriers as stipulated in activity 4 of its rolling workplan for 2014–2015;

9. *Notes with appreciation* the effective implementation by the Technology Executive Committee of its linkage modalities with institutional arrangements through its active collaboration with bodies under and outside of the Convention, including the Adaptation Committee, the Standing Committee on Finance and the Global Environment Facility;

[1] FCCC/SB/2014/3.

[2] Technology Executive Committee document TEC/2014/8/10, annex II.

10. *Acknowledges* that the Technology Executive Committee, in response to an invitation by the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation,[1] has undertaken activities in 2014 to strengthen linkages with organizations under and outside of the Convention;

11. *Encourages* the Technology Executive Committee to continue to strengthen the linkages referred to in paragraph 10 above in the implementation of its rolling workplan for 2014–2015;

12. *Recognizes* the need for the technology needs assessment process to be improved in order to facilitate the implementation of the project ideas emanating from it. This can be done through the provision of technical assistance and finance to each technology needs assessment, which should also aim to integrate economic, environmental and social aspects into the development of the technology needs assessment;

13. *Requests* the Technology Executive Committee to provide guidance on how the results of the technology needs assessments, in particular the technology action plans, can be developed into projects that can be ultimately implemented, and to provide an interim report on its preliminary findings to the subsidiary bodies at their forty-third sessions (November–December 2015);

Activities and performance of the Climate Technology Centre and Network in 2014

14. *Welcomes with appreciation* the progress made by the Climate Technology Centre and Network in implementing its programme of work, including by: responding to requests from developing countries; fostering collaboration and access to information; and strengthening networks, partnerships and capacity-building;

15. *Welcomes* the elaboration and approval by the Advisory Board of the Climate Technology Centre and Network of the Climate Technology Centre network criteria and the Climate Technology Centre and Network prioritization criteria for national designated entity requests, and encourages the Advisory Board of the Climate Technology Centre and Network to elaborate these criteria as needed;

16. *Encourages* the Climate Technology Centre and Network to further elaborate its procedures for handling requests and to inform Parties and stakeholders of these activities in the joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network;

17. *Welcomes* the work of the Advisory Board of the Climate Technology Centre and Network in 2014 to facilitate the operation and services of the Climate Technology Centre and Network;

18. *Notes* the ongoing consultations between the Global Environment Facility and the Climate Technology Centre and Network, and requests the Climate Technology Centre and Network to report on those consultations in future joint annual reports of the Technology Executive Committee and the Climate Technology Centre and Network;

19. *Also notes* document FCCC/SB/2014/3, paragraphs 64–66, and invites the Climate Technology Centre and Network to continue to report on these issues, as well as on funding resources available for responding to requests, in future joint annual reports of the Technology Executive Committee and the Climate Technology Centre and Network.

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[1] FCCC/SBSTA/2014/2, paragraph 32, and FCCC/SBI/2014/8, paragraph 133.

Decision 18/CP.20

Lima work programme on gender

The Conference of the Parties,

Recalling decisions 36/CP.7, 1/CP.16 and 23/CP.18 on improving the participation of women in Convention negotiations and in the representation of Parties in bodies established under the Convention,

Underscoring the importance of coherence between gender-responsive climate policies and balanced participation of women and men in the Convention process, and the provisions of international instruments such as the Convention on the Elimination of All Forms of Discrimination against Women and the Beijing Declaration and Platform for Action,

Acknowledging the progress made in advancing gender balance and gender equality within the context of climate change policies and in line with the individual country circumstances and gender-responsive climate policy through the decisions referred to above, and the need for gender mainstreaming through all relevant targets and goals in activities under the Convention as an important contribution to increase their effectiveness,

Noting that, notwithstanding the progress made by Parties in implementing the decisions referred to above, there is a need for women to be represented in all aspects of the Convention process, including through membership of their national delegations and the chairing and facilitation of formal and informal negotiating groups,

Also noting that gender-responsive climate policy still requires further strengthening in all activities related to adaptation and mitigation as well as decision-making on the implementation of climate policies,

1. *Decides* to enhance the implementation of decisions 36/CP.7, 1/CP.16 and 23/CP.18 by inviting Parties to advance gender balance, promote gender sensitivity in developing and implementing climate policy, and achieve gender-responsive climate policy in all relevant activities under the Convention;

2. *Also decides* that additional efforts need to be made by Parties to improve the participation of women in their delegations and in all of the bodies established under the Convention, as stipulated in decisions 36/CP.7 and 23/CP.18;

3. *Further decides* to establish a two-year work programme for promoting gender balance and achieving gender-responsive climate policy, developed for the purpose of guiding the effective participation of women in the bodies established under the Convention, the elements of which are contained in paragraphs 4 to 7 below;

4. *Requests* the secretariat to include in its next annual report, as referred to in decision 23/CP.18, paragraph 8, information regarding the implementation by the secretariat of those decisions that include a gender approach, in keeping with applicable gender-related policies under the Convention;

5. *Decides* to strengthen the existing work on gender balance in the thematic priority areas set out in paragraphs 6 to 12 below;

6. *Encourages* Parties to support (a) training and awareness-raising for female and male delegates on issues related to gender balance and climate change, and (b) building the skills and capacity of their female delegates to effectively participate in UNFCCC meetings via training on, inter alia, negotiation skills, drafting of legal language and strategic communication;

7. *Also encourages* interested Parties and relevant organizations to support these training and capacity-building efforts, particularly for delegates from Parties that are particularly vulnerable to the adverse effects of climate change, including the least developed countries, small island developing States and countries in Africa;

8. *Requests* the secretariat to support the organization of these training and capacity-building efforts, inter alia, in conjunction with sessions of the subsidiary bodies;

9. *Invites* Parties to increase the representation of women and active participation of women in the bodies established under the Convention;

10. *Decides* to clarify the meaning of the term "gender-responsive climate policy" from an implementation perspective, and improve the development and effective implementation of gender-responsive climate policy;

11. *Requests* the secretariat to organize an in-session workshop on gender-responsive climate policy with a focus on mitigation action and technology development and transfer during the forty-second session of the Subsidiary Body for Implementation (June 2015), and prepare a report on the workshop for consideration at its forty-third session (November–December 2015);

12. *Also requests* the secretariat to organize an in-session workshop on gender-responsive climate policy with a focus on adaptation and capacity-building, and training for delegates on gender issues during the forty-fourth session of the Subsidiary Body for Implementation (May 2016) and prepare a report on the workshop for consideration at its forty-fifth session (November 2016). Future work could include in-session workshops on other themes;

13. *Invites* Parties and admitted observer organizations to submit to the secretariat, by 18 February 2015 and 3 February 2016, respectively, their views on the matters to be addressed at the in-session workshops referred to in paragraphs 11 and 12 above;

14. *Requests* the secretariat to prepare a technical paper on guidelines or other tools on integrating gender considerations into climate change related activities under the Convention for consideration by the Subsidiary Body for Implementation at its forty-fourth session;

15. *Invites* Parties and admitted observer organizations to provide information on progress made in meeting the goals of achieving gender balance and gender-responsive climate policy;

16. *Agrees* to review this information at its twenty-second session (November 2016) with a view to taking any necessary action needed to strengthen the progress of furthering these goals;

17. *Requests* the Executive Secretary to appoint a senior gender focal point, who is an expert in this subject matter, to develop and ensure the implementation of, within existing resources, an action plan for the two-year work programme on gender and climate change;

18. *Invites* Parties and relevant organizations to provide the means for implementing gender-related activities within the two-year work programme;

19. *Takes note* of the budgetary implications of the activities to be undertaken by the secretariat referred to in this decision;

20. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources.

10th plenary meeting
12 December 2014

Decision 19/CP.20

The Lima Ministerial Declaration on Education and Awareness-raising

The Ministers and Heads of Delegation attending the twentieth session of the Conference of the Parties and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, held in Lima, Peru, from 1 to 12 December 2014,

Reaffirming the importance of Article 6 of the Convention and Article 10(e) of the Kyoto Protocol,

Recalling decision 15/CP.18,

Concerned about the impacts of climate change on both current and future generations,

Recognizing that education, including formal, non-formal and informal education, and public awareness programmes should promote the attitudes and behaviour needed to prepare our societies to adapt to the impacts of climate change,

Reaffirming that public participation, access to information and knowledge are crucial for developing and implementing effective policies to combat climate change and adapt to its impacts, as well as to engage actively, as appropriate, all stakeholders, including children, youth, the elderly, women, persons with disabilities, indigenous and local communities and non-governmental organizations in the implementation of these policies,

Underlining that effective climate change action requires public understanding of the issues at stake and the potential benefits of climate action, and that there is a need for public understanding that a transformation is necessary now to avoid increasingly serious consequences in the future,

Acknowledging the progress made by Parties, international organizations, civil society and other stakeholders in planning, coordinating and implementing activities related to education, training, public awareness, public participation and access to information,

Recalling the outcomes of major United Nations conferences and summits related to education,

Considering, in this context, the importance of the United Nations Educational, Scientific and Cultural Organization World Conference on Education for Sustainable Development held in Aichi-Nagoya, Japan, from 10 to 12 November 2014, which called for urgent action to further strengthen and scale up education for sustainable development,

1. *Stresses* that education, training, public awareness, public participation, public access to information, knowledge and international cooperation play a fundamental role in meeting the ultimate objective of the Convention and in promoting climate-resilient sustainable development;

2. *Reaffirms* our commitment to promote and facilitate, at the national and, as appropriate, at subregional and regional levels, and in accordance with national laws and regulations, and within the respective capacities, the development and implementation of educational and public awareness programmes on climate change and its effects, of public access to information on climate change and its effects and of public participation in addressing climate change;

3. *Encourages* governments to develop education strategies that incorporate the issue of climate change in curricula and to include awareness-raising on climate change in the design and implementation of national development and climate change strategies and policies in line with their national priorities and competencies;

4. *Urges* all Parties to give increased attention, as appropriate, to education, training, public awareness, public participation and public access to information on climate change;

5. *Encourages* all Parties to participate in, and to benefit from, the work of intergovernmental panels and expert groups established under the United Nations on matters related to climate change education, natural science and public awareness;

6. *Expresses* our resolve to cooperate and engage through multilateral, bilateral and regional complementary initiatives that aim to raise awareness and enhance education on climate change and its impacts, opportunities and co-benefits;

7. *Reaffirms* our commitment to the implementation of the Doha work programme on Article 6 of the Convention.

10th plenary meeting
13 December 2014

See decision 15/CP.18.

Decision 20/CP.20

Forum and work programme on the impact of the implementation of response measures

The Conference of the Parties

Decides to forward the text of the draft decision contained in the annex for consideration by the subsidiary bodies at their forty-second sessions (June 2015), with a view to recommending a draft decision on this matter for adoption by the Conference of the Parties at its twenty-first session (November–December 2015).

Annex

[English only]

Recommendation of the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice

The Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice, at their forty-first sessions, recommended the following draft decision for consideration and adoption by the Conference of the Parties at its twentieth session:

Draft decision -/CP.20

Forum and work programme on the impact of the implementation of response measures

The Conference of the Parties,

[*Recalling* the ultimate objective of the Convention,]

[*Reaffirming* the importance of the objective of the Convention, and the relevant principles and provisions of the Convention related to the economic and social consequences of response measures, in particular its Articles 2, 3 and 4,]

Recalling decisions 5/CP.7, 1/CP.10, 1/CP.13, 1/CP.16, 2/CP.17, 8/CP.17, 1/CP.18 and 31/CMP.1, and Article 4, paragraphs 8, 9 and 10 of the Convention, as well as Article 2, paragraph 3, and Article 3, paragraph 14, of its Kyoto Protocol,

[*Acknowledging* Parties' repeated calls for a continued and structured exchange of information on both the positive and negative consequences of response measures and on ways to maximize the positive and minimize the negative consequences for Parties, in line with the work programme on this matter developed by the subsidiary bodies,]

Recalling decision 8/CP.17, paragraph 3, which established the forum on the impact of the implementation of response measures to implement the work programme on the impact of the implementation of response measures,] and decision 2/CP.17, paragraph 91, which consolidated all progressive discussions related to response measures under the Convention,]

[*Also reaffirming* that developed country Parties are urged to strive to implement policies and measures to respond to climate change in such a way as to avoid negative social and economic consequences for developing country Parties, taking into account Article 3 of the Convention, and to assist these Parties to address such consequences by providing support, including financial resources, transfer of technology and capacity building, in accordance with Article 4 of the Convention, to build up the resilience of societies and economies negatively affected by response measures,]

[*Also recalling* that Parties should cooperate to promote a supportive and open international economic system that would lead to sustainable economic growth and development in all Parties, particularly developing country Parties, thus enabling them better to address the problems of climate change; measures taken to combat climate change, including unilateral ones, should not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade,]

Noting that the initial review of the work of the forum on the impact of the implementation of response measures, pursuant to decision 8/CP.17, paragraph 5, indicates that a more focused consideration of issues is needed for the effectiveness of the process,

Option 1

1. *Decides* to hereby continue the forum on the impact of the implementation of response measures [which consolidates all progressive discussions related to response measures under the Convention] [until 2015] in order to provide a platform allowing Parties to share, in an interactive manner, information, experiences, case studies, best practices and views;

2. *Decides* to focus future work under the forum on the impact of the implementation of response measures on expert input and the provision of concrete examples, case studies and practices in order to enhance the capacity of Parties, in particular developing country Parties, to deal with [all] [positive and negative] impacts of the implementation of response measures;

3. *Requests* the Chairs of the subsidiary bodies to convene the forum , to implement the updated work programme on the impact of the implementation of response measures, which shall meet [once] [twice] a year, in conjunction with the sessions of the subsidiary bodies;

4. [*Requests* the subsidiary bodies, at their forty-seco sessions (June 2015), to update the work programme on the impact of the implementation of response measures, and the modalities to implement that work programme;]

5. *[Requests* the subsidiary bodies, in updating the work programme, to take into consideration the following elements:

(a) Economic diversification and transformation;

(b) Just transition of the work force, and the creation of decent work and quality jobs;

(c) Assessment and analysis of impacts[, including economic modelling];]

6. [*Requests* the subsidiary bodies to review at their forty-fifth sessions the work of the forum, incl ding the need for its continuation, with a view to providing recommendations to the Conference of the Parties at its twenty-second session (November–December 2016);]

7. *[Requests* the secretariat to prepare, subject to the availability of financial resources, a guidance document to assist developing countries to assess the impacts of the implementation of response measures, including guidance on modeling tools, as well as technical materials to assist developing countries on their economic diversification initiatives, for consideration at SBI 42 and SBSTA 42 (June 2015);]

Option 2

(Provisions related to the colloquium)

Option 1

8. *Decides* to establish a Mechanism for Enhanced Action on Response Measures, and requests the subsidiary bodies to develop the functions and modalities of the mechanism at their forty-second sessions, for consideration and adoption by the Conference of the Parties at its twenty-first session (November–December 2015).

Option 2

(No text)

9. *Takes* note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 4 above. They requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

10th plenary meeting
12 December 2014

Decision 21/CP.20

Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties

The Conference of the Parties,

Reaffirming decisions 26/CP.7, 1/CP.16, 2/CP.17 and 1/CP.18, which recognized that Turkey is in a situation different from that of other Parties included in Annex I to the Convention,

Also reaffirming the importance of financial, technological and capacity-building support to Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties in order to assist these Parties in implementing the Convention,

1. *Recognizes* the opportunities for Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties to benefit, at least until 2020, from support from relevant bodies established under the Convention and other relevant bodies and institutions to enhance mitigation, adaptation, technology, capacity-building and access to finance;

2. *Encourages* Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties to fully utilize those opportunities;

3. *Urges* Parties included in Annex II to the Convention which are in a position to do so, through multilateral agencies, including the Global Environment Facility within its mandate, relevant intergovernmental organizations, international financial institutions, other partnerships and initiatives, bilateral agencies and the private sector, or through any further arrangements, as appropriate, to provide financial, technological, technical and capacity-building support to Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties in order to assist them in implementing their national strategies, actions and plans on climate change mitigation and adaptation, and in developing their low-emission development strategies or plans in accordance with decision 1/CP.16.

10th plenary meeting
12 December 2014

Decision 22/CP.20

Administrative, financial and institutional matters

The Conference of the Parties,

Recalling decision 27/CP.19, in which the programme budget for the biennium 2014–2015 was approved and the Executive Secretary was requested to report to the Conference of the Parties at its twentieth session on income and budget performance and to propose any adjustments that might be needed in the programme budget for the biennium 2014–2015,

Also recalling paragraph 11 of the financial procedures of the Conference of the Parties,[1]

Having considered the information contained in the documents prepared by the secretariat on administrative, financial and institutional matters,[2]

I. Audited financial statements for the biennium 2012–2013

1. *Takes note* of the audited financial statements for the biennium 2012–2013, the audit report of the United Nations Board of Auditors, which includes recommendations, and the comments of the secretariat thereon;

2. *Expresses its appreciation* to the United Nations for arranging the audits of the accounts of the Convention, and for the valuable observations and recommendations of the auditors;

3. *Urges* the Executive Secretary to implement the recommendations of the auditors, as appropriate;

II. Budget performance report for the biennium 2014–2015

4. *Takes note* of the report on budget performance for the biennium 2014–2015 as at 30 June 2014 and the status of contributions as at 15 November 2014 to the trust funds administered by the secretariat;

5. *Expresses its appreciation* to Parties that made contributions to the core budget in a timely manner;

6. *Calls upon* Parties that have not yet made contributions to the core budget to do so without delay, bearing in mind that contributions are due on 1 January of each year in accordance with the financial procedures of the Conference of the Parties;

7. *Expresses its appreciation* for the contributions received from Parties to the Trust Fund for Participation in the UNFCCC Process and to the Trust Fund for Supplementary Activities;

8. *Urges* Parties to further contribute to the Trust Fund for Participation in the UNFCCC Process, in order to ensure the widest possible participation in the negotiations in 2015, and to the Trust Fund for Supplementary Activities;

[1] Decision 15/CP.1, annex I.

[2] FCCC/SBI/2014/10, FCCC/SBI/2014/16 and Add.1 and 2, and FCCC/SBI/2014/INF.23.

9. *Reiterates* its appreciation to the Government of Germany for its annual voluntary contribution to the core budget of EUR 706,938 and its special contribution of EUR 1,789,522 as Host Government of the secretariat;

III. Programme budget for the biennium 2016–2017

10. *Requests the* Executive Secretary to submit, for consideration by the Subsidiary Body for Implementation at its forty-second session (June 2015), a proposed programme budget for the biennium 2016–2017;

11. *Also requests* the Executive Secretary, when preparing the programme budget for the biennium 2016–2017, to prepare a contingency for funding conference services,[1] should this prove necessary in the light of decisions taken by the General Assembly at its seventieth session;

12. *Further requests* the Subsidiary Body for Implementation to recommend, at its forty-second session, a programme budget for adoption by the Conference of the Parties at its twenty-first session and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session (November–December 2015);

13. *Authorizes* the Executive Secretary to notify Parties of their indicative contributions for 2016 on the basis of the recommended budget.

10th plenary meeting
12 December 2014

[1] See document FCCC/SBI/2013/6, paragraphs 59–62, for an overview.

Decision 23/CP.20

Revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat

The Conference of the Parties,

Noting that the United Nations General Assembly, by its resolution 60/283, approved the adoption of the International Public Sector Accounting Standards for the presentation of financial statements within the United Nations system,

Also noting that the UNFCCC secretariat, in keeping with the timeline established by the United Nations Secretariat, is scheduled to prepare its first financial statements in accordance with the International Public Sector Accounting Standards in April 2015,

Having considered the proposed revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat required for the adoption of the International Public Sector Accounting Standards,[1]

Approves the proposed revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat required for the adoption of the International Public Sector Accounting Standards contained in the annex to document FCCC/SBI/2014/INF.9.

10th plenary meeting
12 December 2014

[1] FCCC/SBI/2014/INF.9

Decision 24/CP.20

Dates and venues of future sessions

The Conference of the Parties,

Recalling Article 7, paragraph 4, of the Convention,

Also recalling United Nations General Assembly resolution 40/243 of 18 December 1985 on the pattern of conferences,

Further recalling rule 22, paragraph 1, of the draft rules of procedure being applied regarding the rotation of the office of President among the five regional groups,

I. Dates and venues of future sessions

A. Twenty-second session of the Conference of the Parties and twelfth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

1. *Notes with appreciation* the expression of interest received from the Government of Morocco in relation to hosting the twenty-second session of the Conference of the Parties and the twelfth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, which will be held from Monday, 7 November to Friday, 18 November 2016;

2. *Requests* the secretariat to initiate a fact-finding mission to Morocco and to report to the Bureau of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, by June 2015, on whether all logistical, technical, legal and financial elements for hosting the sessions are available there, in conformity with United Nations General Assembly resolution 40/243;

3. *Also requests* the Subsidiary Body for Implementation to consider, at its forty-second session (June 2015), the issue of the host of the twenty-second session of the Conference of the Parties and the twelfth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, and to recommend a draft decision on this matter for consideration and adoption by the Conference of the Parties at its twenty-first session (November–December 2015);

B. Twenty-third session of the Conference of the Parties and thirteenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

4. *Notes* that, in keeping with the principle of rotation among regional groups, the President of the twenty-third session of the Conference of the Parties and the thirteenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol would come from the Asia-Pacific States;

5. *Invites* Parties to undertake further consultations on the hosting of those sessions, which will be held from Monday, 6 November to Friday, 17 November 2017;

6. *Requests* the Subsidiary Body for Implementation, at its forty-second session, to consider the issue of the host of the twenty-third session of the Conference of the Parties and the thirteenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and to recommend a draft decision on this matter for consideration and adoption by the Conference of the Parties at its twenty-first session;

II. Calendar of meetings of the Convention and Kyoto Protocol bodies

7. *Takes note* that, as recommended by the Subsidiary Body for Implementation at its fortieth session,[1] future May/June sessions of the subsidiary bodies should commence on a Monday, and that, in order to enhance efficiency and time management, work should be completed one day earlier than previously , so as to finish the sessions on the Thursday of the second week, and that all meetings at those sessions taking place on the Saturday should be completed by midday in order to enhance the efficiency, timeliness and transparency of the work;

8. *Decides* to adopt the following dates for the sessional periods in 2015, 2016, 2017, 2018 and 2019:

(a) 2015: Monday, 1 June to Thursday, 11 June and Monday, 30 November to Friday, 11 December;

(b) 2016: Monday, 16 May to Thursday, 26 May and Monday, 7 November to Friday, 18 November;

(c) 2017: Monday, 8 May to Thursday, 18 May and Monday, 6 November to Friday, 17 November;

(d) 2018: Monday, 30 April to Thursday, 10 May and Monday, 5 November to Friday, 16 November;

(e) 2019: Monday, 17 June to Thursday, 27 June and Monday, 11 November to Friday, 22 November.

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[1] FCCC/SBI/2014/8, paragraphs 212 and 213.

Resolution 1/CP.20

Expression of gratitude to the Government of the Republic of Peru and the people of the city of Lima

Draft resolution submitted by France

The Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,

Having met in Lima from 1 to 12 December 2014 at the invitation of the Government of the Republic of Peru,

1. *Express their profound gratitude* to the Government of the Republic of Peru for having made it possible for the twentieth session of the Conference of the Parties and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol to be held in Lima;

2. *Request* the Government of the Republic of Peru to convey to the city and people of Lima the gratitude of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol for the hospitality and warmth extended to the participants.

10th plenary meeting
14 December 2014